

Capacity Building in Collaborative Problem-Solving for Stakeholders and Mediators

Midpoint Status

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FORWARD

Collaborative Approaches for Resolving



Water Issues



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EXECUTIVE SUMMARY

Purpose of the Status Report

The purpose of this status report is to take stock of FORWARD's capacity building efforts to date by looking at the following:

- ? The original intent of FORWARD's capacity building efforts;
- ? The approach and methodology of the capacity building program;
- ? The status of the capacity building program;
- ? An assessment of the activities;
- ? Lessons learned since FORWARD began in July 1996; and
- ? Recommended actions to improve the capacity building activities.

Objectives of FORWARD's Capacity Building Activities

The objective of FORWARD's capacity building activities is to develop and enhance the skills of public and private sector representatives in collaborative problem-solving, interest-based negotiation, and consensus decision making techniques. FORWARD focuses on the development of more effective stakeholders, mediators and other third-party intermediaries who are involved in designing and implementing water-related policies and programs in countries in the Middle East. The capacity building activities are designed to support FORWARD's country-specific technical programs which are funded by the U.S. Agency for International Development (USAID) missions in the Middle East.

Now at its midpoint, FORWARD is using collaborative problem-solving techniques to address water issues in the Middle East. The project currently has programs in Egypt, Jordan, and West Bank/Gaza, and is preparing workplans for Lebanon and Morocco. Capacity building in collaborative problem-solving is an integral part of these programs.

FORWARD designs capacity building programs for two groups:

- ? Mediators and other third-party intermediaries – managers and other professionals from the public and private sectors who want to develop their knowledge and skills to perform mediation and other third-party work; and

- ? Stakeholders – government and private-sector decision makers in the water sector who are involved in water-related issues and can use dispute resolution skills in their current jobs.

The capacity building activities include on-the-job training, mentoring, and modeling of collaborative behavior in addition to formal training sessions.

Current Status of Capacity Building Activities

FORWARD's experience over the first two and one-half years of the project has led to a modification of the initial concept of how capacity building should take place. Originally, the project planned to conduct formal training sessions for stakeholders in collaborative problem-solving approaches and then include those stakeholders in activities aimed at resolving contentious water issues. FORWARD had also planned to identify and train potential mediators and other third-party intermediaries and then involve them in specific dispute resolution activities. However, FORWARD found that stakeholders were more interested in participating in a collaborative process to resolve immediate problems they were facing regularly on-the-job. Only then would they consider attending formal training courses.

Based on these experiences, FORWARD is now emphasizing other types of capacity building activities in addition to formalized training. These activities include on-the-job training, mentoring, and modeling of collaborative behavior, all focused on supporting country-focused technical activities. These practices are designed to support the achievement of FORWARD's goals in country-specific technical activities that are funded through incremental funding from missions, rather than relying on core funding.

Assessment of the Capacity Building Program

FORWARD has trained mediators and other third party intermediaries in both Egypt and Jordan, and has provided them with opportunities to apply their newly gained knowledge and skills on specific collaborative activities in the water sector. Nine Egyptians and eight Jordanians have participated in two separate mediation workshops held in each country. In addition, six Egyptians and two Jordanians have received individual mentoring and on-the-job training in such specific mediation tasks as conducting convening interviews and facilitating working groups and workshops. With these efforts, FORWARD is far along in achieving its goal of fifteen trained mediators in the region by the end of the five-year project term.

FORWARD has also conducted a limited number of stakeholder training sessions, all in Jordan, as part of the on-going Cost/Tariff Model and Financial Accounting System Programs. These stakeholder training sessions reached approximately twenty-six stakeholders.

Because of changing USAID priorities, FORWARD has received less core funding than originally expected during its first two and a half years of implementation. This has required that the project rely more heavily on incremental mission funding provided to support specific technical objectives and activities. The change in funding levels and sources has had a significant impact on the project's ability to design and implement an effective formal training program. Because missions have specific technical objectives for FORWARD interventions, they have been hesitant to fund formal mediator training and development of collaborative training materials that were not directly tied to achieving their technical objectives.

In addition, there is less demand for formal training courses and related training material than was originally anticipated. FORWARD has found that stakeholders, in particular, are more interested in participating in an activity that uses collaborative problem-solving techniques to help them solve an actual pressing problem, rather than take a formal training course. For this reason, the project has focused more on integrating and modeling collaborative approaches during planning and technical workshops and meetings sponsored by the project. This has provided an opportunity for FORWARD to introduce collaborative approaches using actual situations that identify contentious or difficult issues and then provide a safe environment to work through options and agree on a resolution.

Lessons Learned

The project has learned a number of important lessons in designing and implementing capacity building activities in the region.

General Lessons

- ? Capacity building for stakeholders works best when it is integrated with a specific technical activity that is focused on resolving a water-related issue.
- ? Career opportunities for neutral third-party intermediaries are limited in most Middle East countries, which makes it difficult to identify and develop a cadre of local professional mediators and facilitators.
- ? Host country ministries and USAID missions give lower priority to formal training than they do to technical activities or on-the-job training and mentoring interventions.

Formal Training Design

- ? The first step to designing effective formal training is a comprehensive assessment of the training needs of the intended audience, followed by the development of learner-centered objectives, and a detailed course design that meets the needs identified by the participants and their parent organizations.

- ? An interdisciplinary team composed of a collaborative problem-solving expert and a training design specialist should design any formal training program.

Mentoring, On-the-Job Training, and Modeling Collaborative Behavior

- ? Mentoring and on-the-job training are long-term activities that usually extend throughout the life of a technical activity.
- ? Modeling collaborative behavior is an essential first step for stakeholder groups that do not have the knowledge of, or appreciation for, collaborative approaches to resolving or avoiding problems.
- ? Developing good collaborative problem-solving skills for potential third-party intermediaries takes time and requires a combination of on-the-job training, mentoring and formal training.
- ? Culture-based concepts about impartiality pose problems for acceptability of local mediators and other third-party intermediaries.
- ? Missions are reluctant to fund mediator training unless it directly supports the objectives of the technical activity.
- ? ANE core funding is the only funding available for formal mediator training

Stakeholder Training

- ? Stakeholder training, as described in the contract and envisioned during the early part of the project, includes only formal training which is too narrowly defined. Capacity building should include a broader array of interventions such as on-the-job training and mentoring and modeling of collaborative behavior.
- ? Formal training is not a natural first step to building the motivation, interest, and skills of stakeholders in collaborative problem-solving.

Training Materials

- ? Participants in formal training courses need training materials that are regionally focused, with relevant local examples, case studies, and simulations .
- ? Designing and producing training manuals, simulations, case studies and relevant handouts in English and Arabic is not a priority for technically focused programs.

Recommended Actions

Based on this assessment of FORWARD's collaborative problem-solving training program for stakeholders and mediators, the following actions are recommended:

- ? **Broaden the definition of training carried out by the project to include on-the-job training, mentoring, and modeling collaborative behavior.** Mentoring and on-the-job training occur when experienced dispute resolution specialists and facilitators assist trainees in applying collaborative approaches to real life problems. Modeling collaborative behavior occurs when FORWARD facilitates technical workshops that include problem-solving discussions as part of the agenda.
- ? **Training will be conducted only in the context of specific technical activities.** FORWARD will not conduct any generalized collaborative problem-solving training in the future. It must clearly connect to technical programs and be justified on the basis of its support for technical program objectives.
- ? **Use available materials for generalized collaborative problem-solving training rather than develop new ones.** Over the past two and a half years, it has become evident that the ANE Bureau and missions are reluctant to use funds for developing the comprehensive training materials called for in the contract. FORWARD proposes to use already available materials that are found in the region. In those cases where specialized materials are needed, the project will develop them on a restricted basis.
- ? **Initiate all capacity-building interventions with a training needs assessment.** Before conducting any technical, management, or collaborative problem-solving training in the future, the project will carry out a training needs assessment which will serve as the basis for a capacity-building interventions.

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CHAPTER 1 INTRODUCTION

In order to strengthen the institutional capacity for resolving water issues and disputes in the Middle East, FORWARD is working with individuals from both the public and private sector to enhance the collaborative problem-solving and decision-making skills of stakeholders, potential mediators and other third party intermediaries. A variety of capacity building techniques are being utilized, including formal training, on-the-job training, individualized mentoring, and modeling of collaborative behavior during the implementation of technical activities.

FORWARD is strengthening collaborative problem-solving capacities in the region in four ways:

? **Designing and conducting capacity building activities for stakeholders to strengthen dispute resolution techniques.**

FORWARD builds institutional capacity by offering formal training courses, on-the-job training, mentoring and modeling of collaborative approaches on dispute resolution techniques for public and private-sector decision-makers who are working to resolve water-related issues.

? **Developing a group of professional mediators and other third-party intermediaries in the region.**

FORWARD identifies individuals who are interested in and have the ability to become third-party professionals (mediators, dispute resolution specialists and facilitators), and provides intensive formal courses, and on-the-job training and mentoring that prepares them to fulfill this new role. Newly trained mediators, dispute resolution specialists, and facilitators are given the opportunity to co-mediate, co-facilitate and co-train with FORWARD team members on project activities, thereby gaining valuable professional experience.

? **Assisting local officials in resolving or avoiding water-related problems.**

FORWARD dispute resolution specialists and other third-party intermediaries use collaborative problem-solving approaches in working closely with government officials and private sector individuals to address problems in the water sector. FORWARD teams mentor officials, managers, and other decision-makers on effective collaborative techniques to help reach agreement on difficult water-related issues they face in their daily work.

FORWARD is designed to:

Reach agreement on important water issues through a mixture of mediation and technical support to stakeholders;

Strengthen the capacity in the Middle East and Asia for collaborative problem-solving and consensus-building; and

Develop, test, and refine culturally and socially appropriate dispute resolution approaches to settle water issues.

- ? **Developing improved methods of dealing with local water issues.** FORWARD plans to use its case-by-case experience over time to generate improved approaches to collaborative problem-solving and consensus-building. These approaches are captured in lessons learned reports and case studies that are available as supporting material in training sessions.

Project Performance Requirements

FORWARD's overall performance is assessed in three separate, but related, ways:

- ? **Contract deliverables.** FORWARD is to produce nine different kinds of work products — primarily in the form of reports — to meet its commitments under the contract.
- ? **Performance indicators.** The contract lists twenty performance indicators, which are results-oriented standards to measure FORWARD's progress.
- ? **Results framework.** At the request of the Asia and Near East Bureau, FORWARD developed a results framework to help measure project accomplishments as part of the yearly R4 process.

A number of FORWARD's project performance requirements are related to capacity building. The following section provides an overview of the requirements that are directly related to developing improved capacity.

Contract Deliverables

Four of the project's nine major contract deliverables relate to capacity building:

- ? A detailed report presenting a preliminary environmental dispute resolution methodology/approach which is appropriate socially, culturally, and politically, and which has been tested against actual water resources disputes;
- ? Joint problem-solving/dispute resolution training materials, tailored to each host country's culture and political circumstances, both for training of parties participating in dispute resolution processes, and for training of third-party impartial;
- ? Annual and mid-cycle "lessons learned" documentation, including . . . how to orient and train participants . . . , appropriate to the host country and the regional context; and
- ? Approximately 200 individuals (stakeholders) trained in problem-solving negotiation strategies, and approximately 15 individuals (mediators and other third-party intermediaries) trained in environmental dispute resolution.

Project Performance Indicators

Seven of FORWARD's twenty indicators that are used to measure the level of the project's performance relate directly to capacity building:

- ? 4: Culturally appropriate, comprehensive training materials are developed in English, and in the host country language (if the latter is specified by USAID).
- ? 5: Essentially the same group of individuals participate throughout a particular negotiation, for a total of approximately 200 individuals with training and experience (assuming 4 to 5 negotiations, 25 negotiators, and 25 alternate negotiators/assistants per negotiation).
- ? 6: Creative joint problem-solving skills of participants are enhanced.
- ? 7: At least 15 nationals of the ANE region receive educational training in environmental dispute resolution.
- ? 8: At least 15 nationals of host countries in the ANE region serve as host country experts or as apprentices in dispute resolution processes conducted under this project.
- ? 9: Opportunities for environmental dispute resolution training are extended both to women and to men.
- ? 15: Short-term analytical and/or training activities involving joint problem-solving are conducted.

Results Framework

FORWARD developed a strategic support objective (SSO) in July 1998 to help USAID evaluate the results of the project over its life. The framework includes objectives, expected intermediate results, and indicators that can measure the results against the objectives. The following intermediate results, with corresponding indicators, relate to the capacity building objective.

Intermediate Result 1: Host country government commitment to collaborative problem-solving established and sustained.

- ? Indicator 1.3: Host countries dedicate resources in kind to collaborative problem-solving (office space, staff time, supplies, and other tangible resources).

Intermediate Result 2: Host country knowledge and skills needed to apply collaborative problems-solving approaches enhanced.

? Indicator 2.1: Number of host country nationals (men and women) serving as co-mediators.

? Indicator 2.2: Number of host country partners with trained staff.

Intermediate Result 4: Collaborative problem-solving approaches are developed, tested, and refined and disseminated to interested parties

? Indicator 4.2: Number of training materials prepared, tested, and disseminated.

Objectives of the Status Report

Now at its midpoint, FORWARD is actively using collaborative problem-solving to address water issues in the Middle East. The project currently has programs in Egypt, Jordan, and West Bank/Gaza and is preparing workplans for Lebanon and Morocco. Capacity building in collaborative problem-solving is an integral part of these programs.

Because of changing USAID priorities, FORWARD received less core funding than originally expected in its first two and one-half years. This required the project to rely more heavily on incremental mission funding that is closely tied to specific technical activities. The change in funding levels and sources had a significant impact on the project's capacity building program. Because Missions have specific technical objectives for FORWARD interventions, they have been hesitant to fund formal mediator training and development of collaborative training materials that were not directly tied to achieving their technical objectives.

FORWARD has now been extended through June 2001. As the project expands its current programs and moves into new countries, it is useful to take stock of capacity building efforts to date and review the following:

FORWARD's Middle East Programs

Egypt

- ? **Mediating increases in water and wastewater tariffs in Greater Cairo**
- ? **Developing and vetting water sector policy reform in Egypt**

Jordan

- ? **Developing cost/tariff models for water, wastewater, and irrigation water**
- ? **Conducting an assessment of water quality variations in the Jordan Valley**
- ? **Designing and implementing a financial accounting system for the Jordan Valley Authority**

West Bank/Gaza

- ? **Managing Gaza's Coastal Aquifer**
- ? **Managing water resources, aquifer protection, and urban planning in the West Bank (Hebron municipality)**

Lebanon

- ? **Mediating intervillage water disputes in the Bekaa Valley**

Morocco

- ? **Supporting the creation of a new watershed authority in the Souss-Massa Basin**

? The original intent of FORWARD's capacity building efforts;

- ? The approach of the capacity building program;
- ? The status of the capacity building program;
- ? An assessment of the activities;
- ? Lessons learned since FORWARD began in July 1996; and
- ? Recommended actions to improve the capacity building activities.

CHAPTER 2

FORWARD'S CAPACITY BUILDING APPROACH

The objective of FORWARD's capacity building activities is to develop and enhance collaborative problem-solving, interest-based negotiation, and consensus decision-making skills so that government officials and other professionals in the host country will be able to resolve difficult water issues facing them as effectively, efficiently, and wisely as possible. FORWARD focuses on the development of more effective stakeholders, mediators and other third-party intermediaries who will be involved in implementing water related programs locally.

FORWARD's capacity building activities in each country take into account the overall objectives of the technical program; the special job needs of participants; the interests of the ministries, agencies, organizations, or companies involved; and the realities of the local environment.

FORWARD's capacity building activities take into account the overall objective of the technical program; special job needs of participants; interests of ministries, agencies, organizations, or companies; and the realities of the local environment.

The country-specific capacity building activities consist of some or all of the following: formal training courses, on-the-job training, mentoring, and modeling of collaborative behavior for both stakeholders and potential third-party intermediaries.

FORWARD trainers, facilitators, dispute resolution specialists, and technical experts work together to design capacity building activities based on information gained from a needs assessment conducted with key government officials and USAID mission staff and a representational sampling of potential participants. The needs assessment takes place during the scoping phase and during the implementation of the program.

FORWARD's capacity building activities are designed to develop collaborative problem-solving skills as well as support the achievement of the technical objectives of the country program.

FORWARD designs capacity building activities for two participant groups:

***Stakeholders* – government and private-sector decision-makers in the water sector who have an interest in resolving an issue and can use dispute resolution skills in their current jobs.**

***Potential Mediators and Other Third-Party Intermediaries* – professionals from the public and private sectors who want to develop their knowledge and skills to perform mediation and other third-party work.**

FORWARD's Focus on Capacity Building

FORWARD's experiences thus far have led to a modification of the initial concept of how capacity building should take place. Originally, the project planned to conduct formal training sessions in collaborative problem-solving approaches to stakeholders and then include these stakeholders in activities aimed at resolving contentious water issues. FORWARD had also planned to identify and train potential mediators and other third-party intermediaries and then involve them in specific dispute resolution activities. However, FORWARD found that stakeholders were more interested in participating in a collaborative process to resolve immediate problems they were facing regularly at work; only then would they consider attending formal training courses. By implementing technical activities using collaborative problem-solving approaches, FORWARD team members were able to identify and work with local mediators and facilitators who could then participate in more formal dispute resolution and facilitator training at a later date.

Based on these experiences, FORWARD began to emphasize other types of capacity building activities in addition to formalized training in 1998. These included on-the-job training, mentoring, and modeling of collaborative behavior, all focused on supporting country-focused technical activities.

FORWARD's Capacity Building Activities

While addressing water issues with government representatives and other stakeholders in the water sector, FORWARD designs and conducts four types of capacity building activities.

Formal Training

Formal training is used to develop participants' knowledge and skills in collaborative problem-solving approaches in a classroom setting. Training modules are designed around learner-centered objectives and experiential methods, which include lecturettes, focused small-group discussion sessions, simulations, role plays, case studies, and development of back-home applications.

On-the-Job Training

FORWARD dispute resolution specialists and facilitators provide on-the-job training for local mediator and facilitator trainees. By working as co-facilitators and co-mediators in actual third-

FORWARD develops and enhances collaborative problem-solving capacity using the following methods:

Formal training — designed around learner-centered objectives, these sessions include short lectures, focused discussion sessions, simulations, role plays, case studies, and back-home applications

On-the-Job Training – working as co-facilitators and co-mediators in actual third-party situations, local professionals gain knowledge, skills, and experience in dispute resolution and facilitation techniques.

Mentoring — one-on-one sessions with managers and decision-makers to analyze situations and identify appropriate collaborative problem-solving techniques to resolve issues.

Modeling Collaborative Behavior — use of various collaborative techniques to discuss and resolve issues during technical and planning meetings and workshops.

party situations, local professionals gain knowledge, skills, and experience in dispute resolution and facilitation skills.

Mentoring

FORWARD provides one-on-one sessions with managers, decision-makers, other stakeholders, and potential mediators and other third-party intermediaries to help them analyze specific situations and identify appropriate problem-solving and decision-making techniques that could help them resolve difficult issues.

Modeling Collaborative Behavior

FORWARD teams use a variety of collaborative problem-solving techniques to discuss and resolve issues during team planning meetings, start-up workshops, technical meetings and workshops. Meeting participants are actively involved in identifying, defining, and clarifying issues; developing alternatives; and reaching agreements on a specific course of action. They also agree on how to work together on specific issues. This experience provides an opportunity for direct participation in collaborative problem-solving situations, and to determine how these skills can be applied in other situations.

Dispute Resolution Knowledge and Skills

FORWARD's collaborative problem-solving approach is adapted from the interest-based negotiation method of dispute resolution. This method incorporates many important guiding principles, including:

- ? The inclusion of all interested parties (stakeholders) in the resolution process;
- ? A primary focus on identifying underlying interests (as contrasted with positions);
- ? Using objective criteria and options for joint gain;
- ? Attention to relationship and communication problems; and
- ? Recognition of the value of third-party contributions.

Stakeholders and third-party intermediaries who use FORWARD's approach would address problems by utilizing some portion of the following:

- ? Identify different causes of the problem, and articulate their implications.
- ? Apply the basic principles of negotiation, including:
 - ? Recognizing and addressing relationship issues;
 - ? Distinguishing interests from positions;
 - ? Developing creative options for resolution;
 - ? Selecting suitable evaluative standards; and
 - ? Evaluating the parties' alternatives to negotiation.

- ? Understand and apply consensus-building and collaborative problem-solving principles, such as:
 - ? Including key stakeholders in the process of finding a solution;
 - ? Acting jointly to identify relevant data and documents;
 - ? Educating stakeholders jointly on the issues;
 - ? Creating opportunities to work jointly on the issue; and
 - ? Maintaining constructive momentum for resolution.
- ? Use good communication skills, such as:
 - ? Active listening, including following and attending to what is being said, using silence wisely, questioning clearly and directly, summarizing, and paraphrasing;
 - ? Interviewing clearly to build common information and confidence in the process;
 - ? Active facilitation to encourage input from all stakeholders to reach agreement.
- ? Evaluate a series of related problems and design responsive processes by using dispute systems design principles, such as:
 - ? Creating structures to support good faith negotiation;
 - ? Establishing a series of forums starting with negotiation and ending with adjudication;
 - ? Encouraging continued negotiation even after adjudication begins; and
 - ? Avoiding power as a method for resolving a problem.
- ? Understand the principles, practice, and benefits of mediation and facilitation, and apply each process appropriately and in a timely manner.

An expanding body of knowledge and experience exists in dispute resolution. FORWARD's dispute resolution team members, both US-based and in-country, are acquainted with these methods and are prepared to apply and adjust them to local conditions and contexts.

Capacity Building Activities for Stakeholders, Mediators and Other Third-Party Intermediaries

FORWARD's capacity building activities are designed to develop the skills of both stakeholders and potential mediators and other third-party intermediaries, and to encourage their use of collaborative approaches to resolve water-related issues more effectively.

Stakeholders

Stakeholders are decision-makers, managers and others from the public and private sectors who have an interest in how a specific water-related issue will be resolved.

Furthermore, stakeholders usually represent constituents who are affected by the problem and who will be impacted by a decision.

Stakeholders can be more effective in resolving issues if they understand the benefits and nature of the collaborative process, can distinguish a process that is good from one that is ineffective, and can use appropriate collaborative skills during the problem-solving process.

Mediators and Other Third-Party Intermediaries

An important part of developing an institutional capacity for collaborative problem-solving is to foster the development of a group of trained mediators, dispute resolution specialists, or facilitators, experienced in the local environment, who can be invited by the government or private sector to intervene as third-parties to help resolve difficult and complex water problems.

Part of FORWARD's capacity building activities are focused on mediator, dispute resolution, and facilitator training. These potential third-party intermediaries may include officials, managers, and other professionals in the public and private sectors who want to perform as third-parties in a professional capacity. These individuals are interested in strengthening their formal knowledge of interest-based negotiation and collaborative problem-solving approaches; improving their listening, communication and facilitation skills; and developing confidence in their ability to handle difficult people and problems in a mediation or problem-solving situation.

The goal of FORWARD's third-party training program is to produce a small group of trained local mediators, dispute resolution specialists, and facilitators who can then participate in at least a few local FORWARD activities by the end of the project.

Design of Capacity Building Activities

FORWARD uses the following steps to design capacity building activities for stakeholders and potential third-party intermediaries.

Needs Assessments

The first phase in designing capacity building activities is to conduct a needs assessment that will help identify the specific collaborative problem-solving techniques that stakeholders need to effectively resolve issues related to water.

For stakeholder training, the needs assessment may consist of interviews, discussions, briefings, and focus group sessions with key managers and decision-makers in relevant host government ministries and agencies, and with local USAID mission staff. A

representative sample of other potential stakeholders may also be included in the needs assessment.

Assessing potential mediators and other third-party intermediaries includes:

- ? Learning about their present jobs;
- ? Analyzing the training and experience they have had that prepares them for third-party practice;
- ? Observing their work;
- ? Discussing how the local government, economy, and culture might support mediation or facilitation work;
- ? Identifying the knowledge and skills they believe are needed in order to perform as effective third-party professionals.

Data are gathered from potential mediators and facilitators as well as from local authorities. Annex A presents needs assessment designs for stakeholders and potential mediators.

FORWARD team members use the results of the needs assessment, as well as their own knowledge and experience, to design a capacity building strategy to meet the specific needs of stakeholders, potential mediators and other third-party intermediaries involved in FORWARD's programs.

Design of Interventions

The skill building strategy for both stakeholders and potential third-party intermediaries may include a variety of interventions, such as formal training sessions, on-the-job training, mentoring, and modeling activities. The capacity building strategy may be incorporated into the initial scope of work for the country program or it may be developed later, as the country program evolves.

Each of the interventions for stakeholders and third-party intermediaries is designed around learner-centered objectives and includes specific skill building opportunities that will support the needs identified in the assessment.

Because the number of potential third-party intermediaries in each host country is small, FORWARD intends to combine the formal training sessions for participants from neighboring countries in the region. This joint effort is more cost effective and also creates a more varied and dynamic learning environment for the participants.

FORWARD designs relevant training material for both stakeholder and mediator training. The material for third-party intermediaries will

include more information and exercises related to interest-based negotiation principles and collaborative problem-solving approaches. Materials are developed in Arabic, if funds are available, so that they can be used as reference documents. These will be useful as trainees gain experience as co-mediators and co-facilitators on other FORWARD activities.

Implementation

Formal training sessions for stakeholders are usually offered for two to three days and are designed to help build stakeholders' understanding and skill in collaborative problem-solving. Experiential methods such as lecturettes, focused discussion sessions, simulations, and case studies are used to help internalize effective problem-solving skills. On-the-job training and mentoring may take place following the formal training to help stakeholders apply newly acquired skills in their work.

Because mediator and facilitator training is designed to prepare individuals for a new profession, interventions often occurs over a longer period of time, typically months or even a year or more. The activities will usually include formal training, on-the-job training, and mentoring, and will have a natural sequencing or flow leading to the development of the knowledge and skills needed to perform as an independent and effective third-party professional.

After receiving intensive formal training in mediation, facilitation and/or dispute resolution, third-party trainees are encouraged to co-mediate, co-facilitate, or co-train with FORWARD specialists on other project activities. They thereby gain valuable experience and begin to build credibility and a good reputation in their new profession.

After receiving intensive formal training in mediation, newly trained third-party trainees are invited to co-mediate, co-facilitate, or co-train with FORWARD specialists on other project activities.

Mediators and facilitators also learn from sharing experiences with others working in the profession. If funding is available, FORWARD could sponsor periodic meetings of local mediators and facilitators to discuss case studies, learn new techniques that have been successful in the local environment, and otherwise expand their understanding of the field.

Evaluation

In the final analysis, the effectiveness of a FORWARD capacity building activity is measured by the extent to which it helps participants and their governments achieve the overall objective of improving the way difficult water issues are resolved. To measure effectiveness, formal stakeholder and mediator training sessions include time for participants to evaluate the quality and relevance of the training.

If funding is available, FORWARD can conduct an evaluation of the impact of capacity building activities on participants and their organizations. For example, a follow-up evaluation of the mediator or facilitator training program would seek to identify the existence of qualified and experienced mediators or facilitators. Although more difficult to determine, FORWARD could also evaluate the impact that the group's presence has, and can deduce the impact of mediator or facilitator training on stakeholder and government actions in support of collaborative problem-solving. This effect is reflected in part by the number of independent requests for third-party assistance from the government or private sector.

Follow-up

At regular intervals, FORWARD updates key decision-makers, managers, and USAID on the status and results of the capacity building interventions. This consultation process helps FORWARD continually revise, re-design and implement more relevant and useful capacity building interventions.

CHAPTER 3

STATUS OF THE CAPACITY BUILDING PROGRAM

FORWARD's capacity building activities have evolved over the last two and one-half years from a focus on formal training programs to a combination of formal and informal training. Training in collaborative problem-solving for stakeholders and third-party intermediaries, as originally envisioned in the contract, was placed on hold in early 1998, due to lack of adequate core funding to support needs assessments, and design and implementation of capacity building interventions.

Also because of funding constraints, the project has deferred the development of training manuals and materials. FORWARD has produced some training materials that are focused on specific concepts or skills related to actual training sessions offered to stakeholders and potential third-party intermediaries.

FORWARD has recently put more emphasis on on-the-job training and mentoring activities as well as modeling effective problem-solving skills with local third-party intermediaries and stakeholders. These activities are designed to support the achievement of FORWARD's goals in country-specific technical activities that are funded through incremental funding from missions, rather than relying on core funding.

FORWARD is involved in on-the-job training and mentoring activities as well as modeling effective problem-solving skills with local mediators and stakeholders. These activities are designed as integral components of FORWARD's country-specific technical activities.

The following sections provide general summaries of the status of capacity building activities in Egypt, Jordan, and West Bank/Gaza where FORWARD is presently active and in Lebanon and Morocco where FORWARD is currently designing new programs. Annex B contains more details about the Egypt program and Annex C contains a description of the Jordan capacity building activities.

Ongoing Country Programs

Egypt

FORWARD's initial program in Egypt focused on USAID/Cairo's highest priority: the facilitation of an increase in the Greater Cairo water and wastewater tariff to support the goal of full cost recovery. This effort was intended to demonstrate the effectiveness of using collaborative problem-solving approaches in addressing water issues within the local context and lay the foundation for additional activities and training to follow.

FORWARD assembled a team of well-known senior intermediaries from Egypt to work closely with the Governor of Cairo and his key advisors, members of the Cairo Popular Council, and staff members from the water and wastewater utilities to achieve an increase in tariff levels. During this time, several of the team members requested additional mediation, training, and mentoring to help them respond effectively to the requirements of the activity. Most of the team had previous experience in these areas, but saw a need for more focused training and mentoring on how to deal with the specific situation they were facing.

FORWARD conducted a series of two training sessions six months apart, with nine Egyptians attending both series and three additional participants attending only one session. Each session lasted for two hours per day over three-days. The focused sessions were a success and served as a prelude for four participants who became active third party intermediaries in a major facilitation activity in the spring of 1998. Between the two training sessions, FORWARD team members mentored two of the third-party intermediaries who were coordinating technical activities on the Cairo tariff increase.

During the course of the effort to address issues related to an increase in the water and wastewater tariffs in Greater Cairo, several team members recognized the need for mediation training to help them respond effectively to the requirements of the activity.

Under a new Egypt program, launched in May 1998, FORWARD is implementing five activities to support USAID/Cairo's efforts to support decentralization and private sector participation in the water sector. The components include:

- ? Facilitation of a decision-making process for a water and wastewater policy reform agenda and strategy at the national level;
- ? Facilitation of agenda setting and problem resolution by the chairmen of the public economic authorities;
- ? Mediation of utility issues and development of dispute resolution mechanisms;
- ? Assessment of the managerial capacity of the Cairo general organization for sanitary drainage (GOSD) to operate and manage the greater Cairo wastewater systems; and
- ? Collaborative problem-solving training for stakeholders.

The FORWARD team mentored local third-party intermediaries to facilitate decision-making in water sector reform. U.S. mediators and facilitators provided mentoring in effective interviewing techniques and related process tasks during the implementation of a situational analysis. Four Egyptian third-party intermediaries participated in the first phase of the activity from May to August 1998.

The second phase of the first component began in mid-August when the GOE steering committee announced a fast-track schedule for designing the water sector reform agenda and appointed five working groups to help review technical recommendations and develop new sector strategies. FORWARD was asked to facilitate the working group meetings. In late August and early September, FORWARD's training specialist mentored one Egyptian mediator and two facilitators who were to facilitate the working groups meetings. To date, the working groups have not met, and FORWARD activities on component one are on hold until the steering committee and working groups receive additional technical recommendations on how to reorganize the sector and request facilitation support.

In the fall of 1998, FORWARD mobilized a team of four in-country and two expatriate water and wastewater experts to implement component four – the assessment of the managerial capacity of GOSD. As part of the preparation, the FORWARD training specialist conducted two team planning meetings (TPM), one in Egypt with the in-country team and another with the team leader before his departure for Cairo. The underlying purpose of the TPM was to emphasize the importance of the team employing a collaborative problem-solving approach during the assessment process to ensure that the results and recommendations of the activity were agreed to by the stakeholders. The objectives of the TPM were to provide an overview of the activity, identify stakeholders and their interests, clarify roles and responsibilities of the team members and team leader, identify data needs and sources, and develop an initial workplan. The assessment was successfully completed in the fall of 1998.

Jordan

Beginning in 1997, FORWARD integrated collaborative problem-solving approaches into the design and implementation of its water, wastewater, and irrigation water cost/tariff model development program with the Ministry of Water and Irrigation (MWI). The outline of a capacity building program was included in the initial FORWARD presentation to MWI and USAID in April 1997. In June 1997, FORWARD facilitated an introductory seminar for senior MWI, Water Authority of Jordan (WAJ), and Jordan Valley Authority (JVA) staff, and a team building workshop for FORWARD partners to provide a foundation for implementing the training program.

Since August 1997, FORWARD has designed and facilitated several interventions to support the cost/tariff model program, including:

- ? A Design and Implementation Start-up Workshop in August 1997 for 22 senior Jordanian officials (stakeholders). The objectives were to build agreement on the activities that FORWARD would conduct and to reinforce the collaborative concepts introduced at the June introductory session.
- ? A TPM with nine FORWARD team members to initiate the work, clarify roles and responsibilities, develop a workplan, and agree on collaborative approaches for working with each other and key stakeholders.

- ? Two formal mediator training workshops in October and December 1997, with a total of eight potential mediators attending both workshops, and a ninth attending one session.
- ? A formal stakeholder training session in December 1997, with eleven attending the first day and seven continuing on the second.

In the fall of 1997, FORWARD continued to model the use of collaborative problem-solving approaches on specific activities and to mentor local facilitators in relevant third-party skills. FORWARD team members established and supported technical working groups who were monitoring a number of supporting activities related to the cost/tariff model program. In mid-December, an American mediator and a Jordanian trainee co-facilitated an organizational meeting of a joint technical working group assessing water quality variations in the Jordan Valley.

During 1998, FORWARD continued to use various techniques to reinforce the use of collaborative problem-solving approaches. Three third-party intermediaries, two women and one man, participated in on-the-job training while serving as facilitators for technical workshops supporting FORWARD activities. Twenty-six government officials and managers participated in various technical workshops and observed the benefits of working through problems collaboratively. Plans for training sessions following the October and December workshops were postponed while FORWARD revised its overall training program to adjust for reduced core funding. Local project staff conducted an evaluation of the December stakeholder workshop by interviewing everyone who was invited to participate, both those who attended and those who did not, to identify reasons for their lack of interest. One of the more striking outcomes was the need for more tailored sessions that provide relevant examples and simulations to help internalize the skills being taught.

FORWARD used various approaches to emphasize the impact of using collaborative approaches during the implementation of the activity.

- ? **Three third-party intermediaries, two women and one man, participated in on-the-job training while serving as facilitators for technical workshops in support of FORWARD activities.**
- ? **Twenty-six government officials and managers participated in various planning and technical workshops and observed first-hand the benefits of working through problems collaboratively.**

In August 1998, USAID and the JVA requested a follow-on activity for FORWARD in Jordan: to design and implement a financial accounting system (FAS) for the Jordan Valley Authority. The design team, composed of one U.S. and one Jordanian financial expert, a U.S. dispute resolution specialist, and a Jordanian facilitator, participated in a TPM that emphasized the need to use collaborative approaches to design the activity and to include appropriate training opportunities in the scope of work. The Mission and

JVA have approved the activity design and implementation of the FAS will begin in the spring of 1999. Two events are scheduled to initiate the program in March 1999: an in-country start-up workshop for key stakeholders and the FORWARD team, and a TPM for FORWARD team members. These activities will be another opportunity to begin modeling collaborative approaches to resolve issues that will arise during the design and implementation of the financial accounting system.

West Bank/Gaza

Beginning in 1997, FORWARD has implemented five technical activities in the West Bank/Gaza, including:

- ? The coastal aquifer management project scope of work design;
- ? Industrial wastewater management options study;
- ? Agricultural irrigation and aquifer recharge options for Hebron study;
- ? Stormwater harvesting study; and
- ? The integrated water resources program scope of work design for the west bank.

In the summer of 1998, two local and six expatriate engineers and institutional specialists participated in FORWARD-facilitated TPMs prior to beginning their work on the industrial wastewater management, agricultural irrigation and aquifer recharge options, and stormwater harvesting studies. The TPMs focused on the importance of using collaborative approaches during the team's work with stakeholders: providing a detailed overview of the activity; identifying key stakeholders and their interests; clarifying team member roles and responsibilities; developing a draft outline for the report; and agreeing on a workplan for the work.

Training was provided for the full-time FORWARD senior hydrologist resident in Gaza who is supporting the activities of USAID/West Bank and Gaza. An important part of the training was a one-week mediation course facilitated by CDR Associates in Boulder, Colorado, designed to enhance the hydrologist's skills in evaluating problems from both a technical and a collaborative perspective, in order that he gain the ability to guide technical activities using collaborative concepts.

New Programs Under Development in Other Countries

Lebanon

During a week-long visit to Lebanon in mid-November 1998, FORWARD submitted an initial framework to USAID/Beirut to support mission rural reconstruction efforts in the

Bekaa Valley. The program includes a significant training component, requiring FORWARD to develop formal training and mentoring activities at the village cluster level among local leaders, with local NGO staff who are supervising the village cluster program, and at the national level with staff from the Council for Development and Reconstruction, the primary planning arm of the Government of Lebanon. A FORWARD team will visit Lebanon in February 1999 to identify program objectives and results, design specific activities, and facilitate agreement on a schedule and workplan.

Morocco

FORWARD visited the USAID/Rabat office in late November to discuss ways that the project might assist the mission in its strategic objective of creating a watershed authority in the Souss-Massa basin in southwest Morocco. The mission had already convened interested parties to develop a vision and set of values for water use in the region. FORWARD has proposed to support the development of an integrated water resources management program in the region by fielding an interdisciplinary team composed of a watershed expert and a collaborative planning specialist that will help develop consensus on roles and responsibilities in forming a watershed authority, its governance structure, and technical requirements for implementing the plan. Integral to these activities would be responsibilities for on-the-job training, mentoring, modeling collaborative behavior, and a modest formal training program. FORWARD began recruiting for this program in January 1999. A TPM will be held with the team prior to departure.

Training Materials

An integral part of developing relevant training courses is the design of supporting training materials. These materials may include trainer and participant manuals, handouts, and excerpts from relevant documents that explain important collaborative problem-solving concepts and provide examples that have applicability to the situations faced by the participants. In addition, training materials include simulations, case studies, and other exercises that are designed by the trainers to reflect real life situations and provide opportunities for participants to discuss and practice specific collaborative problem-solving and facilitation skills.

To date, FORWARD has produced very few training manuals and materials, for several reasons. The demand for formal courses and materials is less than was originally anticipated. FORWARD has found that stakeholders in particular are more interested in

Effective training depends, in part, on the availability of relevant training materials that can help stakeholders, potential mediators and other third party intermediaries learn the skills and knowledge that will help them collaborate more effectively within their local conditions and culture. If funding is available, FORWARD produces training materials that are relevant to the local context and reflect actual water problems that local participants face regularly in their jobs.

participating in an activity that uses collaborative problem-solving techniques to help them solve an actual pressing problem, rather than completing a formal training course. For this reason, the project has focused more on integrating and modeling collaborative approaches during planning and technical workshops and meetings sponsored by the project. This has provided an opportunity for FORWARD to introduce collaborative approaches using actual situations that identify contentious or difficult issues and then provide a safe environment to work through options and agree on a resolution.

CHAPTER 4

ASSESSMENT OF FORWARD'S CAPACITY BUILDING ACTIVITIES

This chapter presents the results of an internal review of FORWARD's capacity building activities, which revealed both significant strengths and serious weaknesses.

Strengths of the Capacity Building Program

The internal review identified strengths in many areas, some of them quite significant because of the limited core funding available to support this aspect of the project.

Mediator Training

- ? ***The project identified a number of local professionals who were willing to commit personal time and energy to be trained in the knowledge and skills required to perform mediation or other third-party services.***

FORWARD achieved positive results in the training of mediators in Egypt and Jordan during its first 30 months. Nine Egyptians and eight Jordanians participated in two formal sessions on mediation principles and skills held separately in the two countries. FORWARD also provided limited mentoring for several local mediators to help them apply their newly gained knowledge and skills in a specific activity in the water sector. Eight Egyptians were mentored in three different collaborative techniques: two in identifying and responding to obstacles to a consensus-building process; four in conducting interviews as preparation for a convening process; and three in facilitating technical working groups. Two Jordanians were also mentored in the methods of facilitating technical working groups and designing a collaborative process integral to a technical activity.

- ? ***On-the-job training and mentoring has been provided for local mediators and other third-party intermediaries in Egypt and Jordan who were responsible for process tasks related to the technical activities of the country program.***

FORWARD included six Egyptians and two Jordanians as third-party intermediaries in three technical activities. Four attended formal mediation training given by FORWARD and three had some prior training from other sources. The tasks for the Egyptians included conducting interviews leading to a situational analysis of the stakeholders, interests and possible solutions, and facilitating technical working group discussions as part of the sector reform program. A Jordanian facilitated a joint technical working group meeting and organized and conducted a follow-up team-building session; the other Jordanian participated in the analysis and design of the Jordan Valley Authority financial accounting system activity. Experienced U.S. mediators provided on-the-job training for the local third-party intermediaries.

Stakeholder Training

- ? ***Missions in both Egypt and Jordan agreed to integrate stakeholder training activities into the technical programs they are funding.***

Both USAID/Cairo and USAID/Amman committed substantial funding to formal training because FORWARD was able to demonstrate that significant gains could be achieved from government managers understanding and applying collaborative techniques.

- ? ***The collaborative problem-solving skills of many stakeholders were enhanced through broad participation in the project's technical activities that model appropriate collaborative behavior;***

The USAID Midterm Evaluation Report of FORWARD noted this result in the following statement. "JVA and the WAJ staff consistently praised FORWARD's inclusiveness and thoroughness, the iterative process of evaluation and re-evaluation to assure consensus and credibility for the model, and their success in identifying underlying issues." By participating in numerous technical meetings and workshops over the course of the Jordan work, government officials and managers were able to observe, learn, and use more collaborative approaches to resolving problems.

Modeling Collaborative Behavior

- ? ***Collaborative methods were introduced through team planning meetings, start-up workshops, and technical working group sessions.***

TPMs were conducted for FORWARD technical teams going to Egypt, Jordan, and the West Bank/Gaza. These facilitated sessions (1 to 2 days) provided an opportunity for team members to get acquainted, gain a better understanding of the problem and the scope of work, define their specific roles, clarify roles and responsibilities, and agree on how to work collaboratively in the field. The TPMs and start-up activities also provided FORWARD with an opportunity to brief all team members on the importance of using collaborative approaches in the design and implementation of country programs

FORWARD facilitated TPMs for several technical working groups, composed of representatives from various agencies involved in water and wastewater sector. The TPMs resulted in clarification of roles and responsibilities, explanation of tasks and schedules, development of a workplan, agreement on procedures for resolving or avoiding disputes before they arose, and clarification of expectations for how the group would work together. Because of these meetings, the technical working groups were better able to handle differences in expert opinion during later meetings, and were able to work more collaboratively in cross-sectoral teams.

FORWARD also designed and facilitated a design and implementation start-up workshop for the cost /tariff models for JVA, WAJ, and MWI. The purpose of the start-up workshop was to bring together key stakeholders from the various government agencies at the beginning of the activity to provide them with an overview of the objectives and outcomes of the program. The session was used to discuss specific issues that might hamper implementation and identify possible options for resolution, and to agree on how the project would work collaboratively with the stakeholders from the government. These efforts modeled effective collaboration techniques while providing a solid base for the implementation of the technical aspects of the program.

For the Egypt GOSD managerial assessment, FORWARD facilitated team planning meetings with both the in-country technical team in Cairo and the external team leader in the U.S., to emphasize the need for using collaborative approaches during the assessment process.

- ? ***Technical water resource experts, who are also experienced in collaborative problem-solving, were trained in modeling collaborative behavior to resolve problems encountered in their tasks.***

Technical experts, including the project's long-term hydrologist based in the West Bank/Gaza, were provided with mentoring and on-the-job training in the use of collaborative techniques to facilitate feedback and problem-solving sessions, technical workshops on the WAJ and JVA cost/tariff models, and the joint technical working groups on the water quality variation assessment in the Jordan Valley. In doing so, the technical experts modeled collaborative problem-solving behavior that will help local managers do their jobs more effectively.

- ? ***Problems with the training program were addressed in an open and collaborative manner that responded quickly to problems and adapted to local conditions and changes.***

When the Jordanian Ministry expressed concerns about the formal training program for ministry officials, FORWARD quickly initiated a thorough review of the program, including interviews of all participants and those invitees who did not participate in the sessions. FORWARD found that more emphasis was required on conducting needs assessments and developing relevant training materials before more training could be offered. The formal training program was put on hold immediately, and the needed changes were initiated. Additional formal training has not been scheduled because of a lack of sufficient core funding.

Weaknesses in FORWARD's Capacity Building Program

There are several areas where FORWARD's formal training program has not produced the level of results expected. In some, the project faced changing conditions that

created obstacles to the achievement of these results, in others the performance could have been improved.

Formal Stakeholder and Mediator Training

- ? ***The project's use of collaborative approaches as an integral part of the technical activities did not generate sufficient interest among stakeholders to participate in formal training sessions.***

FORWARD held two formal stakeholder training sessions in Jordan with eleven government managers participating. This experience is in contrast with the success it achieved in conducting a series of formal mediation training sessions, which reached a total of twenty-seven participants.

Several factors contributed to the problems:

- ? Lack of recognition that stakeholders and potential third-party intermediaries are motivated to attend formal training in different ways;
 - ? Scheduling a stakeholder workshop in Jordan at a time that conflicted with other, more traditional technical training;
 - ? Lack of a comprehensive needs assessment, which would have helped build the interest of potential participants in attending the sessions as well as helped the trainers tailor the agenda and materials to stakeholder needs; and
 - ? Case studies, simulations, materials, and discussion topics that were not directly related to stakeholder jobs.
- ? ***Training sessions in collaborative problem-solving were not tailored to the local culture or relevant to actual water problems in the host country.***

Participants of formal training sessions in Jordan strongly suggested that the training could have been improved if trainers had used case studies, simulations, and other materials that were relevant to local conditions and culture. For the second mediation workshop in Jordan, the trainers included an important article written by a Lebanese professor explaining differences between conflict resolution assumptions in the West and the Middle East. Participants responded enthusiastically to this addition to the agenda, but asked for relevant case studies and simulations.

Those who attended the two mediation workshops in Egypt likely had a more positive reaction for these reasons: the trainer, an experienced U.S. dispute resolution specialist resident in Egypt, used Egyptian case studies and simulations generated from his familiarity with the culture and conditions, and the workshops were shorter and more focused than those in Jordan.

In some cases, the term “stakeholder” was defined in narrow terms, to include only managers from agencies that were directly related to the issue. Appropriate representatives from other relevant agencies and professionals from the private sector were not included.

An important catalyst for learning collaborative techniques in training sessions is the presence of considerable diversity among the participants. Different perspectives and opinions are often raised by different jobs and different professions. Ministry officials in Jordan did not agree to allow participants in the stakeholder training sessions to come from outside the ministry and water authorities. This was not an issue for FORWARD’s mediator training sessions in Jordan or Egypt.

Training Materials

- ? ***Comprehensive and relevant training materials for formal training sessions in collaborative problem-solving and dispute resolution have not been developed in either English or Arabic.***

FORWARD has not produced training manuals for use in collaborative problem-solving training sessions. The preparation, testing, final editing, and translation into Arabic of a comprehensive set of training materials in dispute resolution are very expensive tasks that are not directly related to the resolution of current problems in the water sector. Support for the development of both training courses and supporting training materials was originally expected to come from the project’s core funding, but the level of core support was never adequate to implement this task.

CHAPTER 5

LESSONS LEARNED FROM CAPACITY BUILDING EXPERIENCES

FORWARD has gained valuable experience in designing and conducting formal training sessions, on-the-job training, mentoring and modeling collaborative behavior in Egypt and Jordan.

General Lessons

- ? ***Capacity building for stakeholders works best when it is integrated with a specific technical activity that is focused on resolving a water-related issue.***

Potential third-party intermediaries and stakeholders have little or no experience with collaborative processes, and therefore do not begin with an interest in learning the theory behind collaborative problem-solving. They are interested in carrying out their jobs in the best and most efficient manner possible. With this focus on issues in the water sector, FORWARD can reach stakeholders through its work on technical activities. Formal training may evolve naturally from the interest that develops as the technical programs proceed.

- ? ***Career opportunities for neutral third-party intermediaries are limited in most Middle East countries, which makes it difficult to identify and develop a cadre of local professional mediators and facilitators.***

Potential third-party intermediaries who participate in a formal training event, on-the-job training, or a mentoring process, may develop an understanding of the collaborative process and its benefits, yet decide not to participate in further training. Six potential mediators in Egypt did not answer the request to participate in the interview process of the situational analysis for water sector reform, and seven trainees in Jordan were unwilling to follow-up their formal training with third-party experience on actual water problems. Their reasons had less to do with the quality of the training or their basic interest in the subject matter than with decisions about their professional future. These decisions affect the ability of FORWARD to build a recognized group of intermediaries who are prepared to act as third parties in water problems in the region.

- ? ***Host country ministries and USAID missions give lower priority to formal training than they do to technical activities or to on-the-job training and mentoring interventions.***

Formal training has objectives that are long-term and it is not necessarily directed toward the resolution of specific problems that a host government is facing. Government officials are understandably interested in first resolving the actual problems and then, time and funding permitting, developing a more comprehensive

knowledge and understanding in collaborative problem-solving techniques that might come from formal training. This emphasis on direct and immediate results is natural, but has its impact on the willingness of government ministries and USAID missions to allocate funding for formal training programs.

Formal Training Design

- ? ***The first step to designing effective formal training is a comprehensive assessment of the training needs of the intended audience, followed by the development of learner-centered objectives and a detailed course design that meets the needs identified by the participants and their parent organizations.***

Workshop participants who express interest in collaborative approaches consistently request that the knowledge and skills provided in the training be presented in ways that are relevant to their cultural and work environment. To provide training that relates to that environment, dispute resolution trainers must know the work requirements of potential participants and the knowledge and skills that are most helpful to them in their jobs. A comprehensive needs assessment provides this information in ways that also increase stakeholder interest in attending the formal training.

- ? ***An interdisciplinary team composed of a collaborative problem-solving expert and a training design specialist should arrange any formal training programs.***

Formal training in collaborative problem-solving has two important and separate elements: the substantive content and the educational process. Both elements should be represented on the design team for formal training. The substantive content is best represented by an experienced dispute resolution specialist who not only understands the literature of collaborative problem-solving but has also actively applied this knowledge to real world problems. The educational process is best represented by a training specialist who has experience in designing experiential training sessions.

Mentoring, On-the-Job Training, and Modeling Collaborative Behavior

- ? ***Mentoring and on-the-job training are long-term activities that usually extend throughout the life of a technical activity.***

FORWARD mentoring and on-the-job training develop consistency and confidence in participants as they apply important collaborative concepts to real life situations. It is an essential training step for third-party intermediaries who must build skills and credibility in working with stakeholders in the water sector. Mentoring and on-the-job training are closely linked to a technical activity and therefore usually continues for the life of that activity. A technical activity, however, often has its own agenda and

pace. The activity may be slow to develop, or be postponed due to political or economic factors beyond the control of those in charge. The collaborative elements of the activity may be narrowly defined or perhaps widely scheduled, creating long periods without mentoring or training opportunities. Because of these conditions, mentoring and on-the-job training are most useful when participants need to improve specific skills or develop a more general interest in the overall process.

- ? ***Modeling collaborative behavior is an essential first step for stakeholder groups that do not have the knowledge of, or appreciation for, collaborative approaches to resolving or avoiding problems.***

Modeling collaborative behavior takes advantage of a stakeholders' interest in doing a good job. In carrying out a technical activity, a FORWARD team uses acceptable collaborative methods in trying to solve an ongoing problem. By successfully modeling a process that is shown to be effective, FORWARD increases stakeholder understanding of what a collaborative process is and how it works, builds their interest in learning more about it, and motivates them toward applying relevant skills.

Mediator Training

- ? ***Developing good collaborative problem-solving skills for potential third-party intermediaries takes time and requires a combination of on-the-job training, mentoring and formal training.***

To develop professional expertise, mediators and other third-party intermediaries need both intensive training in interest-based negotiation, mediation and facilitation techniques and regular hands-on application and skills building in real life situations.

- ? ***Lack of reasonably attractive employment opportunities for mediators and other third-party intermediaries lowers their motivation to acquire the knowledge and skills of this new profession, and reduces their willingness to disrupt their current professional career to offer these services.***

Mediation is a new and largely untried career path in the region. Managers and professionals who are attracted initially to mediation are usually working in fields that at least touch on collaborative problem-solving, such as psychiatry, labor relations and political science professors, organizational behavior consultants, and trainers. Without a clear career path for mediators, however, there is no incentive or support for these professionals to become more committed to this new profession.

- ? ***Culture-based concepts about impartiality pose problems for acceptability of local mediators and other third-party intermediaries.***

Middle East culture is very receptive to the third-party mediator, but the concept of mediator impartiality is foreign to this culture. Stakeholders expect mediators not to

have a personal bias toward one or another or the central parties, in order that they as seen as endorsing neutrality. It is neutrality narrowly defined in terms of personal relationships and not in terms of an acceptable outcome. Stakeholders expect mediators to have a solid understanding of the substantive context of the problems being considered – in this case the issues surrounding water and wastewater in the region, and this substantive knowledge may push them toward one solution or another.

- ? ***Missions are reluctant to fund mediator training unless it directly supports the objectives of the technical activity.***

Missions carefully allocate their funding to activities that will have the most direct impact on the local environment. Formal mediator training rates are considered a low priority based on this standard. The main benefits of formal mediator training are educational in nature, which means that they are one step removed from having a direct impact on current problems. Additionally, once mediators and other third-party intermediaries are formally trained, they still need to be called into specific cases as third parties. Therefore, missions limit their funding support for mediator training to mentoring and modeling collaborative behavior, both of which are tied directly to performance of a technical activity.

- ? ***ANE core funding is the only funding available for formal mediator training.***

Missions are willing to fund formal stakeholder training if it can be tied closely to a technical activity that they request FORWARD to implement. If stakeholders are interested in comprehensive training, they will be motivated to learn during the formal training sessions and apply the knowledge and skills gained directly in their work. These linkages are not present for formal mediator training. While USAID/Amman and the Jordanian ministry initially agreed to fund formal mediator training, the priority was low, and when funds ran out for other technical activities, remaining funds allocated to formal training were reassigned to the more technical programs. ANE core funding has been the only source of funding for formal mediator training, but has not been adequate to implement a comprehensive training program.

Stakeholder Training

- ? ***Stakeholder training, as described in the contract and envisioned during the early part of the project, includes only formal training which is too narrowly defined. Capacity building should include a broader array of interventions such as on-the-job training and mentoring, and modeling of collaborative behavior.***

Experience has demonstrated that stakeholders learn collaborative concepts and skills by being exposed to them as they deal with difficult issues in their regular work.

This exposure becomes a training activity when FORWARD team members model good collaborative behavior in the process of developing a solution and when FORWARD team members mentor individual stakeholders on specific tasks. Formal training is important because it provides a comprehensive knowledge base that helps stakeholders respond in a consistent manner, but it is by no means the only effective training method.

- ? ***Formal training is not a natural first step to building the motivation, interest, and skills of stakeholders in collaborative problem-solving.***

Without interest or motivation, stakeholders will probably not attend formal training sessions, or if they do they will not be prepared to learn the new concepts and skills being taught. Stakeholder interest and motivation, therefore, are prerequisites for an effective formal training program. Stakeholders develop these interests by seeing the collaborative problem-solving process work in resolving an issue on their current agenda. When they become convinced that collaborative approaches help resolve problems better than more conventional methods, stakeholders are more ready to attend formal training and come away with new knowledge, ideas, and skills.

Training Materials

- ? ***Participants in formal training courses need training materials that are regionally focused, with relevant local examples, case studies, and simulations.***

Pre-packaged, western-focused training materials do not help stakeholders. New mediators and other third-party intermediaries don't understand how the relevant concepts work in the regional context, nor does this encourage them to adopt collaborative skills. Training materials for formal sessions need to be designed around local examples to explain major principles. Case studies and simulations should be grounded in the local culture and environmental context.

- ? ***Designing and producing training manuals, simulations, case studies and relevant handouts in English and Arabic is not a priority for technically focused programs.***

Developing quality training manuals, case studies, and simulations is costly in both time and money. Although a particular training may support a current technical activity, training materials are typically produced independently and do not have a direct impact on resolving current problems. Moreover, writing training materials is time and labor-intensive, all of which is very expensive relative to the cost of conducting the workshop itself. The development of training materials should not be a priority of FORWARD's training program.

CHAPTER 6

RECOMMENDED ACTIONS

Based on this assessment of FORWARD's collaborative problem-solving training program for stakeholders and mediators, the following actions are recommended:

- ? **Broaden the definition of training carried out by the project to include on-the-job training, mentoring, and modeling collaborative behavior.** Mentoring and on-the-job training occur when experienced dispute resolution specialists and facilitators assist trainees in applying collaborative approaches to real life problems. Modeling collaborative behavior occurs when FORWARD facilitates technical workshops that include problem-solving discussions as part of the agenda.
- ? **Training will be conducted only in the context of specific technical activities.** FORWARD will not conduct any generalized collaborative problem-solving training in the future. It must clearly connect to technical programs and be justified on the basis of its support for technical program objectives.
- ? **Use available materials for generalized collaborative problem-solving training rather than develop new ones.** Over the past two and a half years, it has become evident that the ANE Bureau and missions are reluctant to use funds for developing the comprehensive training materials called for in the contract. FORWARD proposes to use already available materials that are found in the region. In those cases where specialized materials are needed, the project will develop them on a restricted basis.
- ? **Initiate all capacity-building interventions with a training needs assessment.** Before conducting any technical, management, or collaborative problem-solving training in the future, the project will carry out a training needs assessment which will serve as the basis for a capacity-building interventions.

ANNEXES

ANNEX A

NEEDS ASSESSMENT DESIGN FOR STAKEHOLDERS AND THIRD-PARTY INTERMEDIARIES

Needs Assessments

The main objective of a needs assessment is to identify specific capacity building activities that will support FORWARD's on-going technical and collaborative problem-solving efforts in the host country. One of the most important steps to designing effective training and capacity building activities is to conduct a needs assessment.

The needs assessment process may begin with interviews of key managers and decision-makers in host government ministries and agencies who are managing water issues. USAID mission staff are also key sources of information who can help identify capacity building needs and opportunities in the area of collaborative problem solving.

Interviewing key decision makers during the needs assessment helps to:

- ? Identify their perceptions about dispute resolution and mediation generally, and collaborative problem-solving approaches and skills specifically;
- ? Determine the roles that these approaches and skills could play within their organizations;
- ? Identify the potential for mediation, facilitation, or other third-party services within the work of their organization;
- ? Understand the training culture of the organization, and clarify how FORWARD's training program might fit;
- ? Clarify how increased use of collaborative processes in the organization's decision-making might improve effectiveness and efficiency; and
- ? Identify key individuals within the ministry or organization that could assist FORWARD trainers to conduct a needs assessment, select potential participants, and design training activities.

Stakeholder Needs Assessment

Assessing stakeholders helps to prepare a training program that meets the needs of the participants. Trainers will use the needs assessment process to:

- ? Discuss the participants' current job responsibilities.

- ? Gain a better understanding of stakeholders' previous experiences related to resolving disputes.

Mediator Needs Assessment

A needs assessment with potential mediators elicits the above information, as well as the following types of information which are specifically related to mediation and facilitation skills. Trainers will use the needs assessment process to:

- ? Learn about the role of mediators or facilitators within the local context, especially on environmental and water issues;
- ? Identify existing third-party work, including specific examples of mediation, facilitation, or other processes performed in water sector; and
- ? Identify potential candidates for mediator and third-party intermediaries for training and determine their openness to being local third-party mediators or facilitators in a collaborative problem-solving process.

Preparing for and conducting the needs assessment

- a. Identify potential participants.** Possible participants should be those who can use the knowledge and skills gained from a FORWARD training activity, or mentoring opportunity, to perform their jobs better and thus contribute to the resolution of water issues in their country.

Stakeholders could include:

- ? Managers who have already had some collaborative problem-solving training;
- ? Individuals recommended by ministry or agency officials, or department heads;
- ? Those expressing interest in collaborative processes through other activities, including participation in other FORWARD activities; and
- ? Those from other organizations, both in the public and private sectors, who could benefit from learning these skills and help create a better learning environment for all participants.

Potential Mediators might include individuals who show:

- ? Curiosity about interest-based negotiation and collaborative problem-solving approaches;

b. Select those to interview. FORWARD will work with officials of the government ministry or agency and USAID to select potential participants to be interviewed. Several considerations may be important in making the selection:

- ? Those recommended for interview by the government or mission
- ? A need to have a cross-section of the potential audience:
 - Men/women
 - More senior/mid-level or less experienced
 - Public/private
 - Policy/technical
- ? Those who individually express interest in training or collaborative problem-solving generally.

c. Conduct interviews. The following is a draft interview guide for stakeholders and mediators:

Introduction

Provide a brief overview of the purpose of the interview, define dispute resolution and what we mean by collaborative problem-solving approaches, and explain why the person has been chosen to be interviewed.

Questions for Stakeholders

- ? What is your job? What do you do on a day-to-day basis?
- ? Who do you work with, both inside and outside your department and agency? What is your relationship with them?
- ? Are you involved in situations where you must gain agreement from a number of individuals in order to implement an activity or program? Please explain by giving one or more examples.

How did it arise? When did you get involved? Who was included in the process of trying to resolve it? Was the issue resolved? If so, how was it resolved? Was the solution workable? Sustainable? What were the end results? Were you satisfied with your participation in that process? What did you learn from your experience?

- ? In your opinion, what training could help you do a better job of handling difficult issues or resolving problems related to your job?

- ? What other comments, questions, or suggestions do you have about your needs related to collaborative problem-solving, or the proposed training program?

Questions for Mediators

A trainer will ask additional questions of potential mediators – questions that are relevant to third-party practice. The following are examples of questions that a trainer might ask.

- ? What is your job? What do you do on a day-to-day basis?
- ? What are your perceptions of collaborative problem-solving, interest-based negotiation or mediation? Do these concepts and activities interest you? Do you have opportunities to participate in collaborative decision-making in your daily work? In what way? Please give an example.
- ? What roles do you see a professional mediator or third-party playing? In your opinion, what skills or experience do you have that will assist you in becoming effective in this role?
- ? What training or experience have you had in facilitation, mediation, or other third-party activities?
- ? In your opinion, what knowledge, skills, or experience are important for you to acquire to be able to perform effectively as a third-party?

d. Compile data from interviews. FORWARD team members use the results of the needs assessment, as well as their own knowledge and experience, to design a capacity building strategy to meet the specific needs of stakeholders, potential mediators and other third-party intermediaries involved in the FORWARD program

ANNEX B

CAPACITY BUILDING PROGRAM IN EGYPT

FORWARD'S first activity in Egypt focused on USAID/Cairo's highest priority – to facilitate an increase in the Greater Cairo water and wastewater tariff to support the goal of full cost recovery for the two utilities. FORWARD's program was intended to demonstrate the utility of collaborative problem-solving approaches in addressing water issues within the local context and lay the foundation for additional activities.

The activity involved putting together a facilitative team to work with staff members from the utilities, the Governor of Cairo and his key advisors, and members of the Cairo Popular Council to achieve an increase in tariff levels. During this time, several team members recognized the need for mediation training to help them respond effectively to the requirements of the activity. Most of the team had previous negotiation and mediation training, and many had tight schedules as independent professionals. Thus, FORWARD conducted a series of two short, three-day, two-hour-per-day formal training sessions six months apart. The update sessions were a success as mediation training and served as a basis for four participants to become active third parties in the facilitation activity in the spring of 1998. They also provided intensive training in collaborative techniques for two participants who were then actively coordinating the Cairo tariff increase activity.

USAID then requested that FORWARD design a program to support decentralization and private sector participation in the water sector.

Training and mentoring of local mediator was planned as part of the program. Training that occurred in connection with the first phase of the program was conducted by two U.S. mediators and FORWARD's dispute-resolution specialist. These training and mentoring activities occurred in the context of the interviewing and process-design tasks during the initial situational analysis. Four Egyptian mediators participated in the training from May to August 1998. One of the four, plus two additional professionals, also received on-the-job training and mentoring in facilitation skills from FORWARD's training specialist during the second phase of the program, which has been ongoing since August.

Mediation Training

? Mediation Update Training 1

National Center for Middle East Studies (NCMES), Cairo
December 16, 19, and 23, 1996
Trainer: John Murray
Participants: 13

FORWARD's objective in the mediation training workshops was to provide training in negotiation and mediation concepts that could be useful to local team members who might be called upon to contribute to the Cairo tariff increase activity.

The specific goals for the three two-hour workshop seminars were as follows:

- ? To understand the nature of conflict, why parties act the way they do, and how to analyze a conflicting situation in ways that can prepare for intervention;
- ? To review the joint problem-solving process and understand how it works and what obstacles stand in its way; and
- ? To determine the methods by which one moves a process from a destructive, contentious pattern to a more constructive, problem-solving pattern.

? **Mediation Update Training 2**

NCMES, Cairo

June 2, 3, and 5, 1997

Trainers: John Murray and Randa Slim

Participants: 11

FORWARD dispute-resolution specialist Randa Slim joined John Murray as trainers for the second series of three two-hour workshop sessions on mediation. Participants consisted of selected members of the FORWARD mediator team in Cairo.

Objectives were to develop a sense of team unity and commitment to FORWARD and its activities, and to build knowledge and skills in areas of third-party behavior likely to be needed for future FORWARD programs. Unfortunately, scheduling conflicts among participants were great. Of the 11 participants, 4 attended all three sessions, 5 attended two sessions, and 2 attended only one (the first).

Mentoring and On-the-Job Training

An important part of the training program in Egypt has been mentoring and coaching provided to trainees who had already received substantial formal training in mediation and collaborative problem-solving before FORWARD contacted them. Experience with these trainees showed how essential the practical experience is for the development of effective third-party skills. It also served to stimulate increased interest among trainees for third-party work

? **Cairo Water and Wastewater Tariff Increase Activity**

November 1997-June 1998

Trainer: John Murray

Participants: 2

In support of a major USAID/Cairo priority, FORWARD initiated a consensus-building process to help secure an increase in Cairo water and wastewater tariffs. The mission's objective was to encourage the Cairo water and wastewater authorities to achieve full cost recovery. FORWARD worked through a local private environmental company, Environmental Quality International (EQI), two of whose employees were assigned the task of monitoring and coordinating this process. The two, a man and a woman, were environmental professionals and not specialists in conflict resolution. Both had attended the mediation update workshops held in December and June, and the trainer, a U.S. conflict resolution specialist teaching at the American University in Cairo, worked closely with both during the first five months of 1998 to help them apply the collaborative techniques to this activity. Mentoring focused on understanding how a consensus-building process differs from traditional political lobbying; designing a strategic planning or visioning session; and maintaining momentum in the process in the face of external pressures.

? **Facilitation of Water and Wastewater Sector Reform Agenda and Strategy**

Phase I: May–August 1998

Trainers: Chris Moore, John Folk-Williams, and John Murray

Participants: 4

In November 1997, USAID/Cairo asked FORWARD to design a process that would facilitate decision-making for a water and wastewater sector reform strategy and agenda. The FORWARD team included two U.S. environmental mediators and Maher Khalifa of NCMES.

Work on the activity began in May, 98. Mentoring and on-the-job training for four NCMES staff were integral components of the activity. The four NCMES mediator trainees included Maher Khalifa, Mounir Badawi, Hasidim Bahari, and Abdel Salam Ayad.

On-the-job training and mentoring included work on the following skills:

- ? Interviewing, in order to convene the process of facilitating sector reform strategizing;
- ? Developing an assessment of the situation; and
- ? Designing a process for including stakeholders in sector reform.

The practical experience gained in developing a situational analysis was effective on-the-job training and provided a mentoring opportunity to build both interviewing skills and a preliminary understanding of the convening process.

? **Facilitation of Water and Wastewater Sector Reform Agenda and Strategy**

Phase II: August 1998 to date

Trainer: Kathy Alison

Participants: 3

National political changes led to a telescoping of the convening task in late July and early August. As the activity moved from the situational analysis phase to convening working groups, two new team members from EQI were added, Shoukry Hussein and Fayez Khamis. Kathy Alison worked with the Egyptian team members to provide mentoring and on-the job training in facilitation skills in preparation for the start-up of the working groups.

ANNEX C

CAPACITY BUILDING PROGRAM IN JORDAN

FORWARD designed a capacity building program as part of the development of its proposed activities supporting initiatives by the Jordan Ministry of Water and Irrigation (MWI). Major events included an introductory seminar for senior MWI, Water Authority of Jordan (WAJ), and Jordan Valley Authority (JVA) staff, and a team building workshop for FORWARD partners.

FORWARD organized and facilitated the Design and Implementation Start-Up Workshop in August in ways that reinforced the concepts introduced at the June sessions (see “Collaborative-Behavior Modeling,” below). Three formal training workshops were given in October and December 1997. At the same time, FORWARD continued its efforts to model correct collaborative problem-solving behavior on specific activities, and to mentor local facilitators in relevant third-party skills.

The FORWARD training program continued in 1998 with an emphasis on mentoring and modeling activities. Plans for follow-up training workshops were postponed while FORWARD revised its overall training program and conducted a careful evaluation of the December, 97 stakeholder workshop by interviewing participants as well as those who chose not to attend. Specific steps have now been taken to tailor future training workshops to the local audience through a training needs assessment. In addition, FORWARD is increasing its efforts to develop case studies and simulations based on local conditions and events to provide relevant hands-on experience during the training. An intensive training-needs assessment is planned in the near future.

Formal Training Workshops

? Seminar: Introduction to Collaborative Problem-solving

Ministry of Water and Irrigation, Amman

June 1997

Trainer: Randa Slim

Participants: 14 senior staff of MWI, WAJ, and JVA

This seminar introduced senior MWI, WAJ, and JVA staff to the field of collaborative problem-solving, its principles and practice. The objective was to build an appreciation of FORWARD’s underlying methodology. The staff members would then be able to evaluate proposed activities appropriately and participate in constructive ways. This was an educational, not a skills-building, effort.

The seminar was well attended. Most participants were invited to serve on either the WAJ or JVA technical committees working with the FORWARD team. Almost all were present at the Design and Implementation Start-Up Workshop in August.

? **FORWARD Team Building: Introduction to Conflict Analysis and Consensus-building**

Jordan Institute for Public Administration (JIPA), Amman
June 17-18, 1997
Trainer: Randa Slim
Participants: 14

The objectives of this workshop were both team building and skills building. This was the first time FORWARD brought together its major partners in Jordan, and thus it provided an opportunity for members of the six groups (Allied Business Advisers, Consolidated Consultants, EnviroConsult Office, JIPA, Jouzy & Partners, and MMIS Management Consultants) to meet each other and develop a good working relationship. In addition, FORWARD provided an overview of collaborative problem-solving principles and skills, and the group discussed appropriate roles in the proposed activities. A secondary objective was to stimulate, among a few participants, an interest in becoming mediators, facilitators, or third-party practitioners.

? **Mediation Workshop 1: Consensus-building and Negotiation Principles**

Guest House, Amman
October 22, 1997
Trainer: Randa Slim
Participants: 14

This first mediation workshop introduced participants to the consensus-building process and to basic negotiation principles.

Several participants expressed their appreciation for FORWARD which acknowledged the presence of different cultural perspectives on conflict by giving participants essays on both Western and non-Western views on conflict resolution. No post-workshop evaluations were taken, but participants demonstrated their enthusiasm through their actions; of the 12 October participants who were available to attend the December follow-up workshop, 10 attended, signaling a high degree of interest and enthusiasm generated during the first workshop.

? **Stakeholders Workshop: Introduction to Negotiation Principles and Consensus-Building Process**

Guest House, Amman
December 3-4, 1997
Trainers: Randa Slim and Bruce Stedman
Participants: 11

The objective of this first stakeholder workshop was to introduce participants to negotiation principles and provide them with a grounding in consensus-building.

Attendance was disappointing: of the 25 WAJ and JVA managers invited, 11 participated during the first day, and only 6 returned on the second.

All stakeholder participants received pre- and post-workshop evaluation forms in order to assess participant expectations and the quality of the training provided. All participants found the training quality to be very good and indicated that the topics were relevant to their work. The simulation exercises were the most useful parts of the training, they said, because, as one participant stated, “They provide the chance to implement what was given in theory and make use of individuals’ capacities.” Participants suggested, however, that the trainers should find regional case studies and simulations that are more attuned to the cultural context and conditions in Jordan and the Middle East.

? **Mediation Workshop 2: Mediation and Facilitation**

Guest House, Amman
December 9-10, 1997
Trainers: Randa Slim and Bruce Stedman
Participants: 12

Ten of the 12 people attending this workshop had also participated in the October training.

The workshop focused on the following:

- ? Negotiation dynamics in multiparty, multi-issue disputes;
- ? Communication skills that foster joint problem-solving;
- ? An introduction to the mediation process; and
- ? Facilitative skills that are essential for a successful mediator.

Some participants noted the importance of finding regional case studies and providing trainees with the opportunity to meet experienced negotiators from the region. They also wanted more attention placed on how to operate in a setting that differs from that in the West, a setting that “. . . puts emphasis on emotions and values to a greater extent.”

Mentoring and On-the-Job Training

Becoming an accomplished mediator or facilitator requires on-the-job training and mentoring as well as formal training. To provide such opportunities, FORWARD pairs potential mediators with more skilled and experienced mediators to work together on regular activities. An important objective of this on-the-job training and mentoring is to build good habits among new mediators that will enable them to handle, without assistance, difficult process problems in future situations.

Two activities in Jordan have provided special opportunities for this kind of mentoring: a water quality assessment and the design of the JVA's financial accounting system. (For a discussion of these activities in the context of modeling collaborative behavior, see "Collaborative-Behavior Modeling," below.)

? **Water Quality Assessment Activity**

MWI enlisted FORWARD and USAID assistance in working through difficult differences between JVA and WAJ staff members over complex parameters for assessing water quality and selected cost-allocation factors. As a result of the Design and Implementation Start-Up Workshop, a Joint Water Quality Technical Working Group was established to work through these differences. In this process, two separate events gave FORWARD an opportunity to provide on-the-job training and mentoring for a facilitator trainee:

? **Convening Process: Interviews and Meeting**

Joint Technical Working Group
December 1997
Trainer: Bruce Stedman
Participant: 1

For this activity, FORWARD put together a facilitator team composed of Bruce Stedman, an experienced U.S. environmental mediator, and Narmine Sindaha Muna, a Jordanian facilitator. The two implemented a standard convening process in early December 1997, which included interviewing all participants and organizing an early meeting. Stedman worked closely with Muna throughout this process. He helped her develop good interviewing techniques, learn how to prepare interview reports and evaluations, work with group members to set the meeting agenda, and facilitate the meeting.

? **Team-Building Agenda**

Joint Technical Working Group
March 1998
Trainer: FORWARD team
Participant: 1

As part of the collaborative process, FORWARD's local facilitator, Narmine Muna, organized and facilitated a team-building meeting of the joint technical working group on March 29, 1998. The agenda included a discussion of the structure of the group, the roles of individual members, procedures for coordinating with the FORWARD expert team, and other team-building measures. This event gave Muna experience in handling a small but important meeting by herself, with frequent support from FORWARD mediators and project management.

? **JVA Financial Accounting System Design**

Jordan's water strategy states that recovery of the cost of utilities is an important goal, and that full recovery of operation and maintenance costs will be standard practice. The JVA has cost and financial data, but under current procedures is unable to assign these costs to different JVA activities and to more discrete cost centers as needed to comply with the new water strategy. In developing an appropriate financial accounting system, the MWI and the JVA anticipated numerous difficult decisions and questions about data and asked FORWARD to help provide an effective collaborative process to work through these difficulties efficiently.

Phase 1 involved identifying issues and designing a work plan for this activity. In addition to two technical accounting experts, the FORWARD team for this phase paired an experienced U.S. environmental mediator, John Folk-Williams, with a Jordanian facilitator, Maha Khatib. The design phase was an intense two-week period in mid-August 1998.

An important recommendation that came from this design work was the initial step of having a Jordanian facilitator work with senior JVA staff in strategic planning sessions. In this case, such an approach would have provided the trainee with excellent follow-up experience that would have blended the dispute-resolution training with her background in planning. On balance, the experience was positive.

Modeling Collaborative Behavior

Workshops and meetings conducted within a FORWARD technical activity provide an opportunity to model appropriate collaborative problem-solving behavior. Those who participate in these sessions are normally senior and mid-level government staff. These sessions:

- ? Provide a hands-on introduction to collaborative problem-solving in the context of real-life problems; and
- ? Stimulate interest among staff to learn more about how dispute resolution might help them do their jobs better.

The Design and Implementation Start-up Workshop in August 1997 is an example of modeling appropriate collaborative behavior with the staff who plan and must carry out the activities. Kathy Alison, FORWARD's training specialist, facilitated the three-day workshop which resulted in a list of activities, and a feeling among staff members from the three separate organizations that they were working cooperatively to contribute to the end product. A team planning meeting was held for the FORWARD team during the same timeframe.

The start-up workshop was followed by a series of smaller, more focused sessions throughout the year. FORWARD facilitated an organizational and planning meeting in

December 1997 and a team-building session in late March 1998. For the WAJ-JVA cost/tariff models activity, FORWARD held separate briefing and feedback workshops between February and March 1998, and in August 1998.

? **Design and Implementation Start-Up Workshop for the Cost/Tariff Modeling Activity: MWI, WAJ, JVA**

Amman
August 16-18, 1997
Facilitator: Kathy Alison
Participants: 26

The Government of Jordan has a policy of moving toward greater private-sector involvement in the management of the country's urban water and wastewater systems. The WAJ and the JVA, for their part, were attempting to increase their operational efficiency and improve their ability to address water shortages and water-quality issues.

To meet these goals, FORWARD facilitated a three-day workshop for MWI, WAJ, and JVA. USAID staff also participated. The objectives of the workshop were as follows:

- ? To provide an overview of the objectives and approach of the FORWARD program;
- ? To agree on technical and collaborative issues related to program implementation in order to meet the needs of the MWI, the WAJ, and the JVA;
- ? To agree on a framework for all activities; and
- ? To establish a basis for continued collaboration throughout the life of the program.

The design and implementation workshop was a success in initiating important new programs, stimulating interest among agency staff in collaborative problem-solving, and modeling effective collaborative behavior.

? **Water Quality Assessment Activity**

Two events during this activity provided modeling opportunities for JVA, WAJ, and MWI staff members represented in the joint technical working group.

? **Joint Technical Working Group Meeting: Organizational and Planning Agenda**

December 11, 1997
Facilitators: Bruce Stedman and Narmine Sindaha Muna
Participants: 7

As an integral part of a convening process for the activity, FORWARD facilitators interviewed members of the joint technical working group in early December. The FORWARD team, composed of an experienced U.S. mediator and a Jordanian facilitator, was able to identify member perceptions of the activity's scope of work, explain the role facilitation can play in the process, and gain feedback on the proposed agenda for the December 11 meeting.

At the meeting, the facilitators summarized the key points from their interviews with working group members. This overview served as the catalyst for bringing out issues on which the members agreed, as well as those issues on which they disagreed or for which they had different perceptions or priorities. Concerning process, all members expressed a desire for their questions to be debated and the answers determined in the context of overall water management. They saw the need for relevant data to be collected and were ready to proceed as quickly as the FORWARD team could be assembled. It was understood that FORWARD would continue to facilitate communication in support of the working group's goals.

? **Joint Technical Working Group Meeting: Team-Building Agenda**

March 29, 1998

Facilitator: Narmine Sindaha Muna

Participants: 8

As part of the collaborative process, FORWARD facilitated another meeting of the joint technical working group on March 29 to discuss the structure of the group and other team-building measures. The objectives of the three-hour session were as follows:

- ? To agree on the overall role, specific functions, and organizational structure of the working group;
- ? To clarify roles and responsibilities of individual members, and the interests of stakeholders who are represented in the group;
- ? To develop the working group's operating procedures, including meeting schedules, communications, representatives, and working norms;
- ? To agree on how the working group and FORWARD will act as a team; and
- ? To identify the next steps.

Working group members participated actively in the meeting and developed a joint vision of the group's role, functions, procedures, and interaction with the FORWARD team. The value of this team-building effort was proved almost immediately as potentially divisive issues concerning what parameters were to be used in the water quality assessment study were addressed without difficulty through collaborative problem-solving measures.

? **WAJ-JVA Cost/Tariff Models**

This activity, developing models identifying costs and linking them to tariffs for the WAJ and the JVA, was to provide the two authorities with a flexible tool for both active financial planning and cost-effective decision-making. An important component was the collaborative nature of the process by which the technical experts would develop the models, test their usefulness, and help WAJ and JVA staff introduce them into their systems.

The FORWARD design team worked with the WAJ and JVA technical working groups regularly to maintain open channels of communication as the data were collected and the models constructed. A facilitated workshop reinforced the collaborative nature of the activity among both the technical staff responsible for day-to-day operation of the models and the managerial officials responsible for policy and decision-making.

? **WAJ Cost/Tariff Model Policy and Efficiency Workshop**

February 28-March 1, 1998

Aqaba, Jordan

Facilitators: Elizabeth McClintock and Narmine Sindaha Muna

Participants: 23

This workshop introduced the WAJ cost/tariff model to a broader staff group from MWI, WAJ, Amman General Water Authority (AGWA), and Operation and Support Maintenance Project of WAJ. The workshop agenda focused on a description of the model, then worked through various scenarios with the model in order to allow participants to experience together its advantages and disadvantages. Lastly, the group captured feedback from MWI and WAJ staff to identify changes that would make the model more useful.

MWI and WAJ staff were impressed with the model and the way the FORWARD team worked with the WAJ in its preparation. In her report, the U.S. facilitator recommended that because of the technical complexity of the model and the facilitative skills of the technical experts, only one outside facilitator was needed for future policy/efficiency workshops. In addition to possessing facilitative skills, it was noted, ideally that facilitator should be familiar with the project and the people involved, have some background in the technical subject matter, and be able to speak Arabic.

? **JVA Cost/Tariff Model**

August 13, 1998

Amman

Facilitator: Financial Analyst Tony Bagwell

This workshop introduced the JVA cost/tariff model to a broad group of JVA managers and MWI officials. During the day's session, the FORWARD team facilitated JVA staff

feedback on the model and input about its use, and secured their support for prompt implementation. FORWARD used this meeting to introduce the team who was designing the follow-up program — the JVA financial accounting system activity — and to build interest in and support for it as a collaborative effort.

ANNEX D

TRAINING PROGRAM IN JORDAN

FORWARD integrated a training program into the development of its proposed activities supporting initiatives by the Jordan Ministry of Water and Irrigation (MWI). Outlines of a formal training workshop program were included in the initial FORWARD presentation to MWI and USAID in April 1997. In June of that year, FORWARD provided an introductory seminar for senior MWI, Water Authority of Jordan (WAJ), and Jordan Valley Authority (JVA) staff, and a team building workshop for FORWARD partners, to provide a good foundation for building the training program.

FORWARD organized and facilitated the Design and Implementation Start-Up Workshop in August in ways that reinforced the concepts introduced at the June sessions (see “Collaborative-Behavior Modeling,” below). Three formal training workshops were given in October and December 1997. At the same time, FORWARD continued its efforts to model correct collaborative problem-solving behavior on specific activities, and to coach local facilitators in relevant third-party skills.

The FORWARD training program continued in 1998 with an emphasis on coaching and modeling activities. Plans for follow-up training workshops were postponed while FORWARD revised its overall training program and conducted a careful evaluation of the December stakeholder workshop by interviewing participants as well as those who chose not to attend. Specific steps have now been taken to tailor future training workshops to the local audience through an initial training needs assessment. In addition, FORWARD is increasing its efforts to develop case studies and simulations based on local conditions and events to provide relevant hands-on experience during the training. An intensive training-needs assessment is planned for this fall.

Formal Training Workshops

? Seminar: Introduction to Collaborative Problem-solving

Ministry of Water and Irrigation, Amman

June 1997

Trainer: Randa Slim

Participants: 14 senior staff of MWI, WAJ, and JVA

This seminar introduced senior MWI, WAJ, and JVA staff to the field of collaborative problem-solving, its principles and practice. The objective was to build an appreciation of FORWARD’s underlying methodology. The staff members would then be able to evaluate proposed activities appropriately and participate in constructive ways. This was an educational, not a skills-building, effort.

The seminar was well attended. Most participants were invited to serve on either the WAJ or JVA technical committees working with the FORWARD team. Almost all were present at the Design and Implementation Start-Up Workshop in August.

? **FORWARD Team Building: Introduction to Conflict Analysis and Consensus-building**

Jordan Institute for Public Administration (JIPA), Amman
June 17-18, 1997
Trainer: Randa Slim
Participants: 14

The objectives of this workshop were both team building and skills building. This was the first time FORWARD brought together its major partners in Jordan, and thus it provided an opportunity for members of the six groups (Allied Business Advisers, Consolidated Consultants, EnviroConsult Office, JIPA, Jouzy & Partners, and MMIS Management Consultants) to meet each other and develop a good working relationship under non-threatening conditions. In addition, FORWARD partners were expected to understand collaborative problem-solving principles and skills, and to play appropriate roles in the proposed activities. A secondary objective was to stimulate among a few participants interest in becoming mediators, facilitators, or third-party practitioners.

No evaluations were taken at the completion of the training. According to the trainer, the participants seemed defensive during the workshop because of a perceived lack of sensitivity by FORWARD to the cultural differences between Jordan and the West in their perspectives on conflict resolution. FORWARD's dispute-resolution specialist responded to this critique by including an article by a regional conflict-resolution theorist as required reading and discussion material in the next training workshop.

? **Mediation Workshop 1: Consensus-building and Negotiation Principles**

Guest House, Amman
October 22, 1997
Trainer: Randa Slim
Participants: 14

This first mediation workshop introduced participants to the consensus-building process and to basic negotiation principles. Prior to the workshop, participants received the meeting agenda and two essays on conflict resolution: "A Critique of Western Conflict Resolution from a Non-Western Perspective" (11 *Negotiation Journal*, 1994); and Chapter Three of *Getting to Yes* (Fisher, Ury, and Patton, 2d ed., New York: Penquin Books 1991).

The morning session included a short interactive presentation on the causes of conflict, the nature of consensus and collaborative processes, the stages of consensus-building, and the steps for mapping a conflict. A small-group exercise followed, with participants

applying appropriate analysis from the presentation to the task of constructing a consensus-building process for the simulated situation, “Twisting River Watershed.” Participants identified who should be involved, listed the different types of stakeholders, clarified objectives, recognized incentives to come to the table, and focused on interests to get parties involved.

The afternoon session began with another short interactive presentation, this time on negotiation. It covered the basic concepts of interest-based negotiation, what constitutes “success,” common assumptions about negotiation, and those times when a negotiated agreement is an appropriate objective. The day concluded with a negotiation exercise (“Oil Pricing”) that demonstrated the effects of competitive versus cooperative behavior, written versus face-to-face communication, a willingness to share relevant information, and the fragility of trust between groups. Immediately after the exercises, the full group discussed the experience from each participant’s perspective and identified the lessons learned.

Several participants expressed their appreciation of FORWARD having acknowledged in the beginning the presence of different cultural perspectives on conflict by giving participants essays on both Western and non-Western views on conflict resolution. No post-workshop evaluations were taken, but participants demonstrated their assessment by their actions: of the 12 October participants who were available to attend the December follow-up workshop, 10 attended, signaling a high degree of interest and enthusiasm generated during the first workshop.

? **Stakeholders Workshop: Introduction to Negotiation Principles and Consensus-Building Process**

Guest House, Amman
December 3-4, 1997
Trainers: Randa Slim and Bruce Stedman
Participants: 11

The objective of this first stakeholder workshop was to introduce participants to negotiation principles and provide them with a grounding in consensus-building. Attendance was disappointing; of the 25 WAJ and JVA managers invited, 11 participated during the first day, and only 6 returned on the second.

The topics for the stakeholders were the same as those covered in the October mediation workshop; the agendas for the two meetings were similar as well. The trainers also conducted the same exercises – “Oil Pricing” for negotiation and “Twisting River Watershed” for consensus-building, with similar discussions and lessons learned. The objectives of the stakeholder participants, however, differed from those of the previous workshops’ participants, as reflected in the agenda order.

Stakeholders focused on interest-based negotiation first, because their goal was to acquire the skills of negotiators rather than of third-party practitioners. Consequently, the trainers concentrated on developing participants’ abilities to apply negotiation

principles as negotiators and to use those principles in supporting an effective consensus-building process. In the October mediation workshop, conversely, participants were interested in developing their abilities to manage a consensus-building process as third-party practitioners. Therefore, their trainer first focused on how to construct such a process, then moved on to consider how third parties could use negotiation principles to support that process.

All stakeholder participants received pre- and post-workshop evaluation forms in order to assess participant expectations and the quality of the training provided. All participants found the training quality to be very good and indicated that the topics were relevant to their work. The simulation exercises were the most useful parts of the training, they said, because, as one participant stated, "They provide the chance to implement what was given in theory and make use of individuals' capacities." Participants suggested, however, that the trainers should find regional case studies and simulations that are more attuned to the cultural context and conditions in Jordan and the Middle East.

? **Mediation Workshop 2: Mediation and Facilitation**

Guest House, Amman
December 9-10, 1997
Trainers: Randa Slim and Bruce Stedman
Participants: 12

Ten of the 12 people attending this workshop had also participated in the October training. Before the workshop, participants received a copy of the agenda and an essay on the mediation process titled *Breaking the Impasse: Consensual Approaches to Resolving Public Disputes* (L. Susskind and J. Cruikshank, New York: Basic Books, 1987). The latter provided participants with a sampling of current theoretical perspectives in the field of conflict resolution.

The workshop focused on the following:

- ? Negotiation dynamics in multiparty, multi-issue disputes;
- ? Communication skills that foster joint problem-solving;
- ? An introduction to the mediation process; and
- ? Facilitative skills that are essential for a successful mediator.

The agenda had also mentioned interviewing skills, but this topic was postponed to allow sufficient time to cover the first four topics adequately.

Two simulations were used to permit participants to practice the analyses and skills discussed in the short interactive presentations. The first was a communication exercise

requiring participants to break up into three groups, with a concentration on the skills of listening, paraphrasing, and reframing. The second exercise was a four-party, multi-issue facilitated negotiation called “Dirty Stuff,” with the objective of drafting a proposed environmental regulation covering industrial processes that create toxic by-products. Participants divided into groups of five for the exercise, with four representing the parties (environmental organizations, industry groups, labor unions, and the government environmental agency) and one serving as an impartial facilitator. The aim of the exercise was to arrive at a consensus concerning a draft rule proposed by the government agency, and included consideration of acceptable levels of risk, quality of cleanup techniques, and monitoring and evaluation of cleanup procedures. The learning points for the exercise focused on the decisions and behavior of the facilitator, their consequences for the groups, how to work with difficult people, obstacles to and incentives for building consensus, and the necessary skills to accomplish the task.

Participants received both pre- and post-workshop evaluation forms. Most found the quality of the training to be very good and the topics relevant to their work, and they particularly appreciated the simulations. As one participant noted, “. . . the exercises give you the opportunity to live the experience.” Other responses included the following:

- ? “I learned how to behave in a multi-stakeholder negotiation, how to build strategies as a negotiator, and how to become a better facilitator.”
- ? “I learned the importance of listening very carefully in negotiations; a facilitator must surface interests before it is too late in the negotiations.”

Some participants noted the importance of finding regional case studies and providing trainees with the opportunity to meet experienced negotiators from the region. They also wanted more attention placed on how to operate in a setting that differs from that in the West, a setting that “. . . puts emphasis on emotions and values to a greater extent.”

Coaching

Becoming an accomplished mediator or facilitator requires on-the-job training and coaching as well as formal training. To provide such opportunities, FORWARD pairs potential mediators with more skilled and experienced mediators to work together on regular activities. An important objective of this on-the-job training and coaching is to build good habits among new mediators that will enable them to handle, without assistance, difficult process problems in future situations.

Two activities in Jordan have provided special opportunities for this kind of coaching: a water quality assessment and the design of the JVA's financial accounting system. (For a discussion of these activities in the context of modeling collaborative behavior, see “Collaborative-Behavior Modeling,” below.)

? **Water Quality Assessment Activity**

MWI enlisted FORWARD and USAID assistance in working through difficult differences between JVA and WAJ staff members over complex parameters for assessing water quality and selected cost-allocation factors. As a result of the Design and Implementation Start-Up Workshop, a Joint Water Quality Technical Working Group was established to work through these differences. In this process, two separate events gave FORWARD an opportunity to coach a facilitator trainee:

? **Convening Process: Interviews and Meeting**

Joint Technical Working Group
December 1997
Trainer: Bruce Stedman
Participant: 1

For this activity, FORWARD put together a facilitator team composed of Bruce Stedman, an experienced U.S. environmental mediator, and Narmine Sindaha Muna, a new Jordanian facilitator. The two implemented a standard convening process in early December 1997, which included interviewing all participants and organizing an early meeting. Stedman worked closely with Muna throughout this process. He helped her develop good interviewing techniques, learn how to prepare interview reports and evaluations, work with group members to set the meeting agenda, and facilitate the meeting.

? **Team-Building Agenda**

Joint Technical Working Group
March 1998
Trainer: FORWARD team
Participant: 1

As part of the collaborative process, FORWARD's local facilitator, Narmine Muna, organized and facilitated a team-building meeting of the joint technical working group on March 29, 1998. The agenda included a discussion of the structure of the group, the roles of individual members, procedures for coordinating with the FORWARD expert team, and other team-building measures. This event gave Muna experience in handling a small but important meeting by herself, with frequent support from FORWARD mediators and project management.

? **JVA Financial Accounting System Design**

Jordan's water strategy states that recovery of the cost of utilities is an important goal, and that full recovery of operation and maintenance costs will be standard practice. The JVA has cost and financial data, but under current procedures is unable to assign these

costs to different JVA activities and to more discrete cost centers as needed to comply with the new water strategy. In developing an appropriate financial accounting system, the MWI and the JVA anticipated numerous difficult decisions and questions about data and asked FORWARD to help provide an effective collaborative process to work through these difficulties efficiently.

Phase 1 involved identifying issues and designing a work plan for this activity. In addition to two technical accounting experts, the FORWARD team for this phase paired an experienced U.S. environmental mediator, John Folk-Williams, with a Jordanian organizational planner, Maha Khatib. The design phase was an intense two-week period in mid-August 1998.

The heavy work schedule, the demanding technical quality of the work, and the distractions caused by recent ministerial changes meant that the activity's coaching aspects were not as prominent or effective as desired. There were few opportunities for direct mediator-trainee consultation on collaborative problem-solving concepts. Still, the two mediators worked together to approach the problem from a collaborative perspective, stressing such factors as incentives, motivations, prevailing organizational values, attitudes, and the politics involved in each issue. Khatib not only experienced working with Folk-Williams throughout this period, but also provided valuable insight into local political and organizational behavior and how to read certain situations.

An important recommendation that came from this design work was the initial step of having a Jordanian facilitator work with senior JVA staff in strategic planning sessions. In this case, such an approach would have provided the trainee with excellent follow-up experience that would have blended the dispute-resolution training with her background in planning. On balance, the experience was positive.

Modeling Collaborative Behavior

Sessions conducted within a regular activity that model appropriate collaborative problem-solving behavior are also an important component of the FORWARD training program. Those who attend are normally senior and mid-level government staff members who have been, or are potential, participants in the more traditional, stakeholder training workshops. These sessions:

- ? Reinforce valuable collaborative lessons that training participants learned at prior workshops;
- ? Provide a useful introduction to collaborative problem-solving in the context of real-life problems for those who have not attended a training workshop; and
- ? Stimulate interest among all staff to learn more about how dispute resolution might help them do their jobs better.

FORWARD has incorporated the modeling concept into the design of most of its activities in Jordan, with results that reflect this commitment to effective collaborative problem-solving. The Design and Implementation Start-Up Workshop in August 1997 is an example of modeling appropriate collaborative behavior with the staff who plan and must carry out the activities. A FORWARD team facilitated the three-day workshop to involve appropriate MWI, WAJ, and JVA staff in the process through a series of small-group sessions and plenary discussions. The result was not only a list of well-thought-out activities, but also a feeling among staff members from three separate organizations that they were working cooperatively to contribute to the end product.

This general design workshop was followed by a series of smaller, more focused sessions throughout the year. For the aforementioned water quality assessment activity, FORWARD facilitated an organizational and planning meeting in December 1997 and a team-building session in late March 1998. For the WAJ-JVA cost/tariff models activity, FORWARD held separate briefing and feedback workshops from February 28 to March 1, 1998, and on August 13, 1998.

? **Design and Implementation Start-Up Workshop: MWI, WAJ, JVA**

Amman
August 16-18, 1997
Trainer: Kathy Alison
Participants: 26

The Government of Jordan has a policy of moving toward greater private-sector involvement in the management of the country's urban water and wastewater systems. The WAJ and the JVA, for their part, were attempting to increase their operational efficiency and improve their ability to address water shortages and water-quality issues.

To meet these goals, the MWI, the WAJ, and the JVA sponsored a three-day workshop with USAID and FORWARD to explore the use of a collaborative approach in developing analytical and policy tools for water costing and tariffing. The objectives of the workshop were as follows:

- ? To explain the objectives and approach of the FORWARD program;
- ? To agree on technical and collaborative issues related to program implementation in order to meet the needs of the MWI, the WAJ, and the JVA;
- ? To agree on a framework for all activities; and
- ? To establish a basis for continued collaboration throughout the life of the program.

FORWARD training consultant Kathy Alison facilitated the workshop consistent with sound collaborative principles both as the best method to achieve the above four objectives and as a model to participants of the effective use of these principles. At the

outset, FORWARD representatives reviewed the collaborative problem-solving process and the advantages of using it in achieving the goals of the MWI, the WAJ, and the JVA.

At different points during the three days, the full group broke into smaller working groups to analyze issues, discuss options, and prepare recommendations, which were then presented by the break-out groups to the workshop participants in plenary. The emphasis on joint problem definition and program design throughout the workshop established a constructive atmosphere of coordination between agencies that had not often worked together in the past to solve their problems.

FORWARD's strategy in all its Jordan activities included the following:

- ? Reaching consensus on important technical and policy issues;
- ? Creating a technical team that includes JVA and WAJ staff and FORWARD consultants;
- ? Involving appropriate experts to guide the process of collaborative problem-solving;
- ? Reaching a series of agreements between technical team members; and
- ? Presenting team agreements to a working group from the JVA and/or the WAJ for approval.

These strategies were realized through a combination of four collaborative teams: a senior-level policy team; a technical group within the WAJ, with a liaison person as main contact, to coordinate data gathering and facilitate interim agreements on technical issues; a technical group within the JVA, with a liaison person as main contact, to do the same for the JVA; and a joint process team from the WAJ and the JVA to participate in training programs organized by FORWARD.

The design and implementation workshop was a success in initiating important new programs, stimulating interest among agency staff in collaborative problem-solving, and modeling the right collaborative behavior.

? **Water Quality Assessment Activity**

Two events during this activity provided modeling opportunities for JVA, WAJ, and MWI staff members represented in the joint technical working group.

? **Joint Technical Working Group Meeting: Organizational and Planning Agenda**

December 11, 1997

Facilitators: Bruce Stedman and Narmine Sindaha Muna

Participants: 7

As an integral part of a convening process for the activity, FORWARD facilitators interviewed members of the joint technical working group in early December. The FORWARD team, composed of an experienced U.S. mediator and a Jordanian facilitator, was able to identify member perceptions of the activity's scope of work, explain the role facilitation can play in the process, and gain feedback on the proposed agenda for the December 11 meeting.

At the meeting, the facilitators summarized the key points from their interviews with working group members. This overview served as the catalyst for bringing out issues on which the members agreed, as well as those issues on which they disagreed or for which they had different perceptions or priorities. Concerning process, all members expressed a desire for their questions to be debated and the answers determined in the context of overall water management. They saw the need for relevant data to be collected and were ready to proceed as quickly as the FORWARD team could be assembled. It was understood that FORWARD would continue to facilitate communication in support of the working group's goals.

? **Joint Technical Working Group Meeting: Team-Building Agenda**

March 29, 1998

Facilitator: Narmine Sindaha Muna

Participants: 8

As part of the collaborative process, FORWARD facilitated another meeting of the joint technical working group on March 29 to discuss the structure of the group and other team-building measures. The objectives of the three-hour session were as follows:

- ? To agree on the overall role, specific functions, and organizational structure of the working group;
- ? To clarify roles and responsibilities of individual members, and the interests of stakeholders who are represented in the group;
- ? To develop the working group's operating procedures, including meeting schedules, communications, representatives, and working norms;
- ? To agree on how the working group and FORWARD will act as a team; and
- ? To identify the next steps.

Working group members participated actively in the meeting and developed a joint vision of the group's role, functions, procedures, and interaction with the FORWARD team. The value of this team-building effort was proved almost immediately as potentially divisive issues concerning what parameters were to be used in the water

quality assessment study were addressed without difficulty through collaborative problem-solving measures.

? **WAJ-JVA Cost/Tariff Models Activity**

This activity, developing models identifying costs and linking them to tariffs for the WAJ and the JVA, was to provide the two authorities with a flexible tool for both active financial planning and cost-effective decision-making. An important component was the collaborative nature of the process by which the technical experts would develop the models, test their usefulness, and help WAJ and JVA staff introduce them into their systems.

The FORWARD design team worked with the WAJ and JVA technical working groups regularly to maintain open channels of communication as the data were collected and the models constructed. A facilitated workshop reinforced the collaborative nature of the activity among both the technical staff responsible for day-to-day operation of the models and the managerial officials responsible for policy and decision-making.

? **WAJ Cost/Tariff Model Policy and Efficiency Workshop**

February 28-March 1, 1998

Aqaba, Jordan

Facilitators: Elizabeth McClintock and Narmine Sindaha Muna

Participants: 23

This workshop introduced the WAJ cost/tariff model to a broader staff group from MWI, WAJ, Amman General Water Authority (AGWA), and Operation and Support Maintenance Project of WAJ. The workshop agenda focused on a description of the model, then worked through various scenarios with the model in order to allow participants to experience together its advantages and disadvantages. Lastly, the group captured feedback from MWI and WAJ staff to identify changes that would make the model more useful.

Facilitation was an important element in making the workshop a success. The two facilitators participated in the development of the agenda, prepared flipcharts and assisted with logistics, and made suggestions to the presenters to manage feedback and document the process. After the workshop, the facilitators prepared a workshop report, which primarily detailed the changes the design team promised to make in the model. They noted that the two main presenters, Tony Bagwell and Ahmed Al-Azzam, possessed very effective facilitation skills as well as technical expertise, which added to the collaborative problem-solving atmosphere of the workshop.

During the discussion it was recognized that allocation of water costs at the Deir Alla intake was an important element for the model, and that the WAJ and the JVA were not in agreement on the figures. It was decided that FORWARD would facilitate a meeting

between representatives of the two authorities in order to reach consensus on the right figures. The joint group would then be expected to present its findings to the Minister.

MWI and WAJ staff were impressed with the model and the way the FORWARD team worked with the WAJ in its preparation. In her report, the U.S. facilitator recommended that because of the technical complexity of the model and the facilitative skills of the technical experts, only one outside facilitator was needed for future policy/efficiency workshops. In addition to possessing facilitative skills, it was noted, ideally that facilitator should be familiar with the project and the people involved, have some background in the technical subject matter, and be able to speak Arabic.

? **JVA Cost/Tariff Model**

August 13, 1998

Amman

Facilitator: Financial Analyst Tony Bagwell

This workshop introduced the JVA cost/tariff model to a broad group of JVA managers and MWI officials. During the day's session, the FORWARD team facilitated JVA staff feedback on the model and input about its use, and secured their support for prompt implementation. FORWARD used this gathering to introduce its team handling the follow-up program—design of the JVA financial cost accounting activity—and to build interest in and support for it as a collaborative effort.